

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT6066089

SUBMISSION TYPE:	CORRECTIVE ASSIGNMENT
NATURE OF CONVEYANCE:	Corrective Assignment to correct the ADDRESS FROM 4-6-1 SHIROKANEDAI, MINATO-KU TOKYO, JAPAN 108-8639 TO 3-1, HONGO 7-CHOME, BUNKYO-KU, TOKYO 113-8654, JAPAN previously recorded on Reel 052357 Frame 0892. Assignor(s) hereby confirms the ASSIGNMENT OF ASSIGNORS INTEREST.

CONVEYING PARTY DATA

Name	Execution Date
YOSHIHIRO KAWAOKA	08/08/2019

RECEIVING PARTY DATA

Name:	Wisconsin Alumni Research Foundation
Street Address:	614 Walnut Street
City:	Madison
State/Country:	WISCONSIN
Postal Code:	53726
Name:	THE UNIVERSITY OF TOKYO
Street Address:	3-1, HONGO 7-CHOME, BUNKYO-KU
City:	TOKYO, 113-8654
State/Country:	JAPAN

PROPERTY NUMBERS Total: 4

Property Type	Number
Application Number:	62577049
Application Number:	16170321
PCT Number:	US2018057576
Application Number:	62633400

CORRESPONDENCE DATA

Fax Number: (608)263-1064

Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.

Phone: 608-265-7938

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ATTORNEY DOCKET NUMBER:	P180114US03 WO01 WARF/TOK
NAME OF SUBMITTER:	MEREDITH NORIEGA
SIGNATURE:	/MEREDITH NORIEGA/
DATE SIGNED:	04/17/2020
Total Attachments: 7 source=P180114US03 WO01 - Corrective Assignment Recordation - Kawaoka#page1.tif source=P180114US03 WO01 - Corrective Assignment Recordation - Kawaoka#page2.tif source=P180114US03 WO01 - Corrective Assignment Recordation - Kawaoka#page3.tif source=P180114US03 WO01 - Corrective Assignment Recordation - Kawaoka#page4.tif source=P180114US03 WO01 - Corrective Assignment Recordation - Kawaoka#page5.tif source=P180114US03 WO01 - Corrective Assignment Recordation - Kawaoka#page6.tif source=P180114US03 WO01 - Corrective Assignment Recordation - Kawaoka#page7.tif	



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

APRIL 10, 2020

PTAS

MEREDITH NORIEGA
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MADISON, WI 53726

506007712

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RECORDATION DATE: 04/09/2020

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BRIEF: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

DOCKET NUMBER: P180114 KAWAOKA

ASSIGNOR:
KAWAOKA, YOSHIHIRO

DOC DATE: 08/08/2019

ASSIGNEE:
WISCONSIN ALUMNI RESEARCH FOUNDATION
614 WALNUT STREET
MADISON, WISCONSIN 53726

ASSIGNEE:
THE UNIVERSITY OF TOKYO
~~4-6-1 SHIROKANEDAI, MINATO-KU~~
~~TOKYO, JAPAN 108-8639~~

3-1, Hongo 7-chome,
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113-8654, Japan

APPLICATION NUMBER: 16170321

FILING DATE: 10/25/2018

PATENT NUMBER:

ISSUE DATE:

TITLE: RECOMBINANT INFLUENZA VIRUSES WITH STABILIZED HA FOR REPLICATION
IN EGGS

APPLICATION NUMBER: 62577049 FILING DATE: 10/25/2017
PATENT NUMBER: ISSUE DATE:
TITLE: MUTATIONS IN THE INFLUENZA VIRUS NA PROTEIN THAT STABILIZE THE
VIRAL HA PROTEIN DURING PASSAGES OF INFLUENZA VIRUSES IN
EMBRYONATED CHICKEN EGGS

APPLICATION NUMBER: 62633400 FILING DATE: 02/21/2018
PATENT NUMBER: ISSUE DATE:
TITLE: RECOMBINANT INFLUENZA VIRUSES WITH STABILIZED HA FOR REPLICATION
IN EGGS

APPLICATION NUMBER: FILING DATE: 10/25/2018
PATENT NUMBER: ISSUE DATE:
PCT NUMBER: US2018057576
TITLE: RECOMBINANT INFLUENZA VIRUSES WITH STABILIZED HA FOR REPLICATION
IN EGGS

ASSIGNMENT RECORDATION BRANCH
PUBLIC RECORDS DIVISION

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT6054422

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
YOSHIHIRO KAWAOKA	08/08/2019
RECEIVING PARTY DATA	
Name:	Wisconsin Alumni Research Foundation
Street Address:	614 Walnut Street
City:	Madison
State/Country:	WISCONSIN
Postal Code:	53726
Name:	THE UNIVERSITY OF TOKYO
Street Address:	4-6-1 SHIROKANEDAI, MINATO-KU
City:	TOKYO
State/Country:	JAPAN
Postal Code:	108-8639
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Phone:	608-265-7938
Email:	mnoriega@warf.org
Correspondent Name:	MEREDITH NORIEGA
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Address Line 2:	13TH FLOOR
Address Line 4:	MADISON, WISCONSIN 53726
ATTORNEY DOCKET NUMBER:	P180114 KAWAOKA

Confirmation Letter

The University of Tokyo (hereinafter referred to as "UT"), the Wisconsin Alumni Research Foundation (hereinafter referred to as "WARF") and Yoshihiro Kawaoka (hereinafter referred to as "Dr. Kawaoka") have confirmed the following matters in regard to the right to obtain a patent, a utility model registration, or a design registration (hereinafter collectively referred to as the "right to obtain a patent") for an invention, a device, or a design made or produced by Dr. Kawaoka and designated as "Mutations In The Influenza Virus NA Protein That 'Stabilize' The Viral HA Protein During Passages Of Influenza Viruses In Embryonated Chicken Eggs" (UT Ref. #17-0468-001WO01, WARF Ref. #P180114), and accorded U.S application numbers 62/577,049, filed on October 25, 2017, 62/633,400 filed on February 21, 2018, and 16/170,321, filed on October 25, 2018, and PCT/US2018/057576, filed on October 25, 2018, in the course of exercising Dr. Kawaoka's work duties within the scope of the business of UT and the University of Wisconsin-Madison during the course of Dr. Kawaoka's employment with UT and the University of Wisconsin-Madison (hereinafter collectively referred to as "Dr. Kawaoka's Employee Invention"). WARF is the patent management organization designated by the University of Wisconsin-Madison.

Article 1 The parties hereby confirm that, despite employment rules or any other stipulations providing in advance that the right to obtain a patent for Dr. Kawaoka's Employee Invention shall be assigned by Dr. Kawaoka to the University of Wisconsin-Madison, WARF, or UT, the right to obtain a patent for Dr. Kawaoka's Employee Invention shall be jointly owned by UT and WARF.

Article 2 If it is later determined under the Laws of Japan or another jurisdiction having such authority, that there was a valid assignment or other lawful transfer of rights to obtain a patent for Dr. Kawaoka's Employee Invention to UT which cannot be revoked or otherwise invalidated, UT shall assign its rights in Dr. Kawaoka's Employee Invention so that the rights shall be jointly owned by UT and WARF. As a result of the foregoing assignment, UT and WARF jointly own the right to obtain a patent for Dr. Kawaoka's Employee Invention.

Article 3 The parties hereby agree that should the application number of any

patent application that claims priority to any of the patent applications referenced above be unavailable as of the date that this document is executed, WARF is authorized to insert the application number and filing dates of the later filed patent applications into this document. WARF is also specifically authorized to record this document as evidence of the assignment to WARF and UT of any patent application listed above or any subsequent patent application claiming priority from any of the above identified patent applications.

Article 4 This Letter of Confirmation shall be signed in both English and Japanese. If there is a discrepancy between the meaning or the interpretation of the English language version and the Japanese language version, the English language version will be taken as the correct version.

IN WITNESS WHEREOF, this Letter of Confirmation is prepared in triplicate and each party hereto shall affix its name hereto and retain one copy hereof.

Date: 8/8/19

(UT): *Junichi Matsui*

(WARF): *Michael B. Lee*

(Dr. Kawaoka): *Y. Kawaoka*

確認書

東京大学（以下、「甲」という。）、ウィスコンシン大学同窓会研究基金（以下、「乙」という。）及び河岡義裕（以下、「丙」という。）は、丙が勤務する甲及びウィスコンシン大学マディソン校双方の業務範囲においてその業務上行い、（「発育鶏卵中のインフルエンザウイルスの継代の間にウイルス HA タンパク質を『安定』させるインフルエンザウイルス NA タンパク質における突然変異」甲参照番号 17-0468-001WO01、丙参照番号 P180114）で特定され、2017 年 10 月 25 日出願に係る米国特許出願番号 62/577,049、2018 年 2 月 21 日出願に係る米国特許出願番号 62/633,400、2018 年 10 月 25 日出願に係る米国特許出願番号 16/170,321、及び 2018 年 10 月 25 日出願に係る国際出願番号 PCT/US2018/057576 と一致する、丙による発明考案又は意匠の創作（以下、併せて「丙の職務発明」という。）に対する特許、実用新案登録又は意匠登録を受ける権利（以下、併せて「特許を受ける権利」という。）に関し、以下のとおり確認した。乙は、ウィスコンシン大学マディソン校から委託を受けた特許管理団体である。

第 1 条 丙の職務発明については、その特許を受ける権利をあらかじめ丙から甲、乙又はウィスコンシン大学マディソン校に譲渡する旨が勤務規則その他の規定において定められているところ、同定めにかかわらず、丙の職務発明に対する特許を受ける権利は、甲と乙との共有となることを確認する。

第 2 条 丙の職務発明に対する特許を受ける権利が甲に有効に譲渡され、又は適法に移転し、同譲渡又は移転を取り消すことができず、また、無効とはならないことが日本法あるいは権原を有する他国の法律の下において確定した場合、甲は、丙の職務発明に対する特許を受ける権利を甲及び乙の共有となるように譲渡するものとする。当該譲渡により、甲及び乙は丙の職務発明に対する特許を受ける権利を共有する。

第 3 条 両当事者は、本書が締結された日時点で上記の特許出願のいずれかに優先権を主張する特許出願の出願番号が入手できない場合、乙が後に出願された特許出願の出願番号および出願日を本書に挿入する権限を有することに合意する。加えて、乙には、上記に列挙されたいずれの特許出願または上記に特定された特許出願のいずれかからの優先権を主張するいずれの後続の特許出願の乙および甲への譲渡の証拠として本書を登録することが特別に認められる。

第 4 条 本確認書は英語及び日本語の両方において署名される。英語版と日本語版における意味または解釈に矛盾がある場合、英語版が正式なものとして優先される。

本確認書の成立を証するため、本確認書 3 通を作成し、甲乙丙署名の上、甲乙丙各 1 通を保有するものとする。

年 8 月 8 日 19

(甲)

松井 潤一

(乙)

Michael Zuck

(丙)

河内 美佐