

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT7125844

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
YOSHIHIRO KAWAOKA	01/06/2022
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: 3	
Property Type	Number
Application Number:	17004583
PCT Number:	US2020048130
Application Number:	62892241
CORRESPONDENCE DATA	
Fax Number:	(608)263-1064
<i>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.</i>	
Phone:	608-265-7938
Email:	mnoriega@warf.org
Correspondent Name:	MEREDITH NORIEGA
Address Line 1:	614 WALNUT STREET
Address Line 2:	13TH FLOOR
Address Line 4:	MADISON, WISCONSIN 53726
ATTORNEY DOCKET NUMBER:	P200038US01 US02 WO01 YOS
NAME OF SUBMITTER:	MEREDITH NORIEGA
SIGNATURE:	/MEREDITH NORIEGA/

DATE SIGNED:	01/18/2022
--------------	------------

Total Attachments: 14

source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page1.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page2.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page3.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page4.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page5.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page6.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page7.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page8.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page9.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page10.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page11.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page12.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page13.tif
source=P200038US01 - Assignment - Kawaoka to UT and WARF - 2020-07-29#page14.tif

CONFIRMATORY ASSIGNMENT
(Joint Inventors)

I am one of the persons identified as an inventor and who has contributed to a new and useful invention (the "Invention") described in the provisional, utility, or design United States patent application and/or the patent application filed under the Patent Cooperation Treaty, as identified below. These patent application(s) are identified as follows:

Filing Type	Filing Country	Serial Number	Filing Date
RECOMBINANT INFLUENZA VIRUSES WITH STABILIZED HA FOR REPLICATION IN EGGS			
PRV	UNITED STATES	62/892241	August 27, 2019

RECOMBINANT INFLUENZA VIRUSES WITH STABILIZED HA FOR REPLICATION IN EGGS			
PAT	UNITED STATES	17/004583	August 27, 2020

RECOMBINANT INFLUENZA VIRUSES WITH STABILIZED HA FOR REPLICATION IN EGGS			
PCT	W.I.P.O. (IS PCT)	PCT/US2020/048130	August 27, 2020

For good and valuable consideration, the receipt of which I hereby acknowledge, I do hereby jointly sell, assign, and transfer to the Wisconsin Alumni Research Foundation ("WARF"), a non-stock, non-profit, Wisconsin corporation, corporation, and to The University of Tokyo ("UT"), and to its legal representatives, successors and assigns, my entire right, title and interest in and to the Invention and to all United States provisional, utility, and design applications as well as foreign patents or patent applications any of which cover all or part of the Invention. WARF and UT shall hold such right, title and interest as fully and completely as they would have been held by me had this assignment and sale not been made.

I further agree, upon WARF and UT's request, to execute any documents, including any separate assignments, declarations or other legal documents, that WARF and UT may find necessary or desirable in the exercise of the right, title and interest assigned above. I further agree to communicate to WARF and UT any facts relating either to the Invention or to any of the patent or patent applications based on the Invention that might be useful to WARF and UT, and to testify about any such facts in any interferences or litigation, if requested by WARF and UT to do so. I shall do the above acts without additional compensation but at no expense to me.

Should the application number of any of the patent applications referenced above be unavailable the date that I execute this document, WARF and UT are authorized by me to insert the application number and filing dates of these patent applications into this document. WARF and UT are also specifically authorized to record this document as evidence of my assignment to WARF and UT of any subsequent United States patent application claiming priority from any of the above identified patent applications.

Ref: P200038US01, US02, WO01

ASSIGNMENT

Ref: P200038US01, US02, WO01

US App.#: 62/892241, Filed: August 27, 2019

US App.#: 17/004583, Filed: August 27, 2020

PCT App.#: PCT/US2020/048130, Filed: August 27, 2020

Inventor: 

Date: 01/06/2022

Yoshihiro Kawaoka
8722 Airport Rd.
Middleton, Wisconsin 53562 United States

Witness #1: 
Signature

Date: 1/06/2022

Alexander KARASON
Print Name

Witness #2: 
Signature

Date: 01/06/2022

Amy Fvehn
Print Name

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 "RECOMBINANT INFLUENZA VIRUSES WITH STABILIZED HA FOR REPLICATION IN EGGS" (UT Ref. #19-0415-001US01, WARF Ref. #P200038US01), and accorded U.S application number 62/892241, filed on August 27, 2019, 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 (Month/Day/Year): 8/27/20

(UT): *Junichi Motani*

(WARF): *Michael B. H.*

(Dr. Kawaoka): *Yoshihiro*

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 "RECOMBINANT INFLUENZA VIRUSES WITH STABILIZED HA FOR REPLICATION IN EGGS" (UT Ref. #19-0415-001US01, WARF Ref. #P200038US01), and accorded U.S application number 62/892241, filed on August 27, 2019, 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 (Month/Day/Year): 8/27/20

(UT): *Junichi Matsui*

(WARF): *Mark Dahl*

(Dr. Kawaoka): *[Signature]*

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 "RECOMBINANT INFLUENZA VIRUSES WITH STABILIZED HA FOR REPLICATION IN EGGS" (UT Ref. #19-0415-001US01, WARF Ref. #P200038US01), and accorded U.S application number 62/892241, filed on August 27, 2019, 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 (Month/Day/Year): 8/27/20

(UT): *Junichi Matsui*

(WARF): *Michael B. [Signature]*

(Dr. Kawaoka): *[Signature]*

確認書

東京大学（以下、「甲」という。）、ウイ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イ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、「卵における複製のための安定化された HA を有する組換えインフルエンザウイルス」（甲参照番号 19-0415-001US01、乙参照番号 P200038US01）で特定され、2019 年 8 月 27 日出願に係る米国特許出願番号 62/892241 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、ウイ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、乙又はウイ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 (year) 20 月 (month) 8 日 (day) 27

(甲) *Sumichi Matsui*

(乙) *Shiro Sakai*

(丙) *W. H. L.*

確認書

東京大学（以下、「甲」という。）、ウイ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イ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、「卵における複製のための安定化された HA を有する組換えインフルエンザウイルス」（甲参照番号 19-0415-001US01、乙参照番号 P200038US01）で特定され、2019 年 8 月 27 日出願に係る米国特許出願番号 62/892241 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、ウイ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、乙又はウイ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、上記に列举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 (year) 20 月 (month) 8 日 (day) 27

(甲) *Junichi Matsui*

(乙) *Michael Bull*

(丙) *GVR*

確認書

東京大学（以下、「甲」という。）、ウイ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イ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、「卵における複製のための安定化された HA を有する組換えインフルエンザウイルス」（甲参照番号 19-0415-001US01、乙参照番号 P200038US01）で特定され、2019 年 8 月 27 日出願に係る米国特許出願番号 62/892241 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、ウイ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、乙又はウイ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 (year) 20 月 (month) 8 日 (day) 27

(甲) *Junichi Matsui*

(乙) *Michael Bell*

(丙) *W. H.*