

09-08-1998

Docket No.: 48151

ET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

RE



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100823724

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Hidefumi Yukimasa
Yasuo Sugiyama
Ruichi Tozawa

neo
8-2878

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

H. Yukimasa, March 2, 1998; Y. Sugiyama,
Execution Date: March 2, 1998; R. Tozawa, Feb. 27,
1998

2. Name and address of receiving party(ies):

Name: Takeda Chemical Industries, Ltd.

Address: 1-1, Doshomachi 4-chome, Chuo-ku

Osaka-shi, Osaka 541-0045, Japan

City: _____ State/Prov.: _____

Country: _____ ZIP: _____

Additional name(s) & address(es)

☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: _____

Patent Application No.

Filing date

B. Patent No.(s)

09/043,265

March 12, 1998

Additional numbers

☐ Yes ☒ No

40E

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David G. Conlin, Esq.

Registration No. 27,026

Address: Dike, Bronstein, Roberts & Cushman, LLP

130 Water Street

City: Boston

State/Prov.: MA

Country: U.S.A.

ZIP: 02109

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account if necessary.

☒ Authorized to be charged to deposit account

8. Deposit account number:

04-1105

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David G. Conlin

Name of Person Signing

Signature

August 28, 1998

Date

Total number of pages including cover sheet, attachments, and

6

MRD 3-12-98

7/12/98-10/1/98

Docket No. 48,151

FORM PTO-1595 (Rev. 6-93) OMB No. 0651-0011 (exp. 4/94)		REC 06-11-1998	3 SHEET	U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office
100732407				
1. Name of Conveying Party(ies): Hidefumi Yukimasa, Yasuo Sugiyama, and Ryuich Tozawa Additional name(s) of conveying party(ies) attached? No		2. Name and address of receiving party(ies) Name: <u>Takeda Chemical Industries, Ltd.</u> Street Address: <u>1-1, Doshomachi 4-chome</u> <u>Chuo-ku, Osaka JAPAN</u> City: _____ State: _____ ZIP: _____ Additional name(s) & address(es) attached? No		
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: _____ Execution Date: <u>February 9 & 17, 1998</u>				
4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: <u>February 9 & 17, 1998</u> A. Patent Application No.(s) B. Patent No.(s) Additional numbers attached? No				
5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>David G. Conlin, Esq.</u> Internal Address: _____ Street Address: <u>Dike, Bronstein, Roberts, etal., LLP</u> <u>130 Water Street</u> City: <u>Boston,</u> State: <u>MA</u> ZIP: <u>02109</u>		6. No. of applications and/or patents involved: <u>1</u> 7. Total fee (37 CFR 3.41)..... \$ <u>40.00</u> <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorization to charge deposit account <input type="checkbox"/> Total amount due <input type="checkbox"/> Any fee deficiencies that may be due 8. Deposit account number: _____ (Attach duplicate copy of this page if paying by deposit account)		
DO NOT USE THIS SPACE				
9. Statement and signature. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. <u>David G. Conlin, Esq. (27,026)</u> _____ Name and Registration Number of Person Signing Signature Date <u>March 12, 1998</u> Total number of pages including cover sheet, attachments, and document: <u>3</u>				

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, DC 20231

PATENT
REEL: 9421 FRAME: 0144

ASSIGNMENT

Serial No. _____, Filed _____

WHEREAS, the following inventors: Hidefumi Yukimasa, Yasuo Sugiyama, Ryuichi Tozawa hereinafter designated as the undersigned) have (have) invented certain new and useful improvements in _____
Benzoxazepine Compounds, Their Production and Use,
for which application for Letters Patent of the United States has been executed on _____, and filed on _____, Serial No. _____; and

WHEREAS, TAKEDA CHEMICAL INDUSTRIES, LTD., having its principal place of business at 1-1, Doshomachi 4-chome, Chuo-ku, Osaka-shi, Osaka 541-0045, Japan, its heirs, successors, legal representatives and assigns (hereinafter designated as the Assignee) is desirous of acquiring the entire right, title and interest in and to said invention and to any Letters Patent(s) that may be granted therefor in the United States of America;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and other good and valuable consideration to the undersigned, the receipt of which is hereby acknowledged, the undersigned has (have) sold, assigned and transferred, and by these presents do sell, assign and transfer unto said Assignee the full and exclusive right to the said invention in the United States of America and its territories, dependencies and possessions and the entire right, title and interest in and to any and all Letters Patent(s) which may be granted therefor in the United States of America and its territories, dependencies and possessions, and in and to any and all divisions, reissues, continuations and extensions thereof for the full term or terms for which the same may be granted.

The undersigned agree(s) to execute all papers necessary in connection with this application and any continuing, divisional or reissue applications thereof and also to execute separate assignments in connection with such applications as the Assignee may deem necessary or expedient.

The undersigned agree(s) to furnish all pertinent facts and documents relating to said application, said invention and said patent(s) as may be known and accessible to the undersigned, and will testify as to the same in any interference or litigation related thereto, and will promptly execute and deliver to Assignee any and all papers, instruments or affidavits necessary or desirable to apply for, obtain, maintain or enforce said application or said patent(s) in connection with any interference or reexamination proceeding which may be declared, and any litigation concerning this application or any continuation, division or reissue thereof or Patent(s) or reissue patent(s) issued thereon, and to cooperate with the Assignee in every way possible in obtaining and producing evidence and proceeding with such interference, reexamination or litigation.

The undersigned agree(s) to execute all papers and documents and to perform any act which may be necessary in connection with claims or provisions of the International Convention for the Protection of Industrial Property or similar agreements.

The undersigned agree(s) to perform all affirmative acts which may be necessary to obtain a grant of a valid United States patent(s) to the Assignee and to vest all rights therein hereby conveyed to said Assignee as fully and entirely as the same would have been held by the undersigned if this Assignment and sale had not been made.

The undersigned hereby authorize(s) and request(s) the Commissioner of Patents and Trademarks to issue any and all Letters Patents of the United States of America resulting from said application or any division or divisions or continuing or reissue applications thereof to the said Assignee, as Assignee of the entire interest, and hereby covenants that he or she has the full right to convey the entire interest herein assigned, and that he or she has not executed, and will not execute, any agreement in conflict herewith.

In witness whereof, signed by the undersigned on the date(s) opposite the undersigned names.

(1) Date: Mar. 2, 1998, Signature of Inventor: Hidefumi Yukimasa
Name: Hidefumi Yukimasa

(2) Date: Mar. 2, 1998, Signature of Inventor: Yasuo Sugiyama
Name: Yasuo Sugiyama

(3) Date: Feb 27, 1998, Signature of Inventor: Ryuichi Tozawa
Name: Ryuichi Tozawa

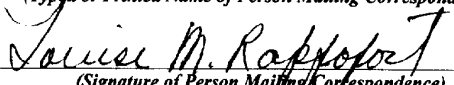
(1)(2) Date: Mar. 2, 1998, Signature of Witness: Eisho Sugino
Name: Eisho Sugino

(1)(2) Date: Mar. 2, 1998, Signature of Witness: Satoru Oi
Name: Satoru Oi

(3) Date: Feb 27, 1998, Signature of Witness: Hiroaki Yagyu
Name: Hiroaki Yagyu

(3) Date: Feb 27, 1998, Signature of Witness: Naoya Yahagi
Name: Naoya Yahagi

PATENT

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)			Docket No. 48151	
Applicant(s): Hidefumi Yukimasa, Yasuo Sugiyama and Ruichi Tozawa				
Serial No. 09/043,265	Filing Date March 12, 1998	Examiner Pearlene Foster	Group Art Unit Assignment Division	
Invention: BENZOXAZEPINE COMPOUNDS, THEIR PRODUCTION AND USE				
<p>I hereby certify that this <u>Corrected Recordation Form Cover Sheet</u> <small>(Identify type of correspondence)</small></p> <p>is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on <u>August 28, 1998</u> <small>(Date)</small></p> <p style="text-align: center;">Louise M. Rappaport <small>(Typed or Printed Name of Person Mailing Correspondence)</small>  <small>(Signature of Person Mailing Correspondence)</small></p> <p style="text-align: center;">Note: Each paper must have its own certificate of mailing.</p>				

P07A/REV03



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

AUGUST 13, 1998

PTAS

DIKE, BRONSTEIN, ROBERTS, ETAL, . LLP
DAVID G. COLIN, ESQ.
130 WATER STREET
BOSTON, MA 02109



100732407A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF NON-RECORDATION OF DOCUMENT

RECEIVED

AUG 17 1998

DIKE BRONSTEIN
ROBERTS CUSHMAN

DOCUMENT ID NO.: 100732407

THE ENCLOSED DOCUMENT HAS BEEN EXAMINED AND FOUND NON-RECORDABLE BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. THE REASON(S) FOR NON-RECORDATION ARE STATED BELOW. DOCUMENTS BEING RESUBMITTED FOR RECORDATION MUST BE ACCOMPANIED BY A NEW COVER SHEET REFLECTING THE CORRECT INFORMATION TO BE RECORDED AND THE DOCUMENT ID NUMBER REFERENCED ABOVE.

THE ORIGINAL DATE OF FILING OF THIS ASSIGNMENT DOCUMENT WILL BE MAINTAINED IF RESUBMITTED WITH THE APPROPRIATE CORRECTION(S) WITHIN 30 DAYS FROM THE DATE OF THIS NOTICE AS OUTLINED UNDER 37 CFR 3.51. THE RESUBMITTED DOCUMENT MUST INCLUDE A STAMP WITH THE OFFICIAL DATE OF RECEIPT UNDER 37 CFR 3. APPLICANTS MAY USE THE CERTIFIED PROCEDURES UNDER 37 CFR 1.8 OR 1.10 FOR RESUBMISSION OF THE RETURNED PAPERS, IF THEY DESIRE TO HAVE THE BENEFIT OF THE DATE OF DEPOSIT IN THE UNITED STATES POSTAL SERVICE.

SEND DOCUMENTS TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231. IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE, YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.

1. PLEASE INDICATE AS TO WHICH DATE EACH CONVEYING PARTY IS ENTITLED.

PEARLENE FOSTER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

Corrected Assignment Due
DIKE, BRONSTEIN, ROBERTS & CUSHMAN, LLP
130 Water St. Boston, MA 02108
Date Rec'd Aug 12, 1998
Docketed For Aug 28 - Sep 12, 1998
By MY/H
Approved Jul 8/18

PATENT
REEL: 9421 FRAME: 0148

PATENTS ONLY

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130 Water Street

City: **Boston**

State/Prov.: **MA**

Country: **U.S.A.**

ZIP: **02109**

6. Total number of applications and patents involved:

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7. Total fee (37 CFR 3.41):.....\$ **40.00**

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☒ Authorized to be charged to deposit account

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04-1105

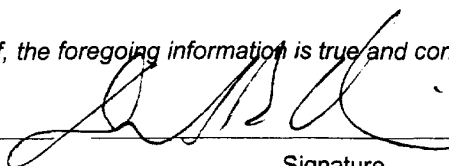
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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David G. Conlin

Name of Person Signing



Signature

August 28, 1998

Date

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Total number of pages including cover sheet, attachments, and