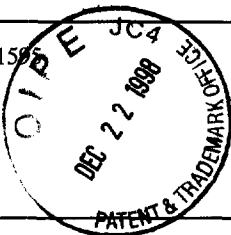


12-24-1998

FORM PTO-159
(Rev. 6/93)

RECORI

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PATENTS ONLYDEPARTMENT OF COMMERCE
Patent and Trademark Office

Attorney's Docket No. 006100-151

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

1. Name of conveying party(ies):

Christof SAUTTER, Heinz WALDNER, and
Ingo POTRYKUSAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name

Other: _____

Execution Date: December 7 and 9, 1998

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

Name: Novartis Finance Corporation
Address: 608 Fifth Avenue, New York, NY 10020

and

Name: Schweizerische Eidgenossenschaft
Eidgenossische Technische Hochschule (ETH)
Address: ETH Zentrum, Ramistrasse 101,
CH-8092, Zurich, SWITZERLAND
Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s): 08/478,389

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

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Patrick C. Keane

Address: BURNS, DOANE, SWECKER & MATHIS, L.L.P.

P.O. Box 1404

Alexandria, Virginia 22313-1404

6. Total number of applications and patents involved: One7. Total fee (37 CFR 3.41): \$ 40.00☒ Enclosed☐ Authorized to be charged to deposit account, if necessary

8. Deposit account number:

02-4800

12/24/1998 DNGUYEN 00000022 08478389

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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.

Bonnie D. Weiss, Reg. No. 43,255
 Name of Person Signing

Signature

December 22, 1998
 Date
Total number of pages including cover sheet, attachments, and document: Three

Mail documents to be recorded with required cover sheet information to:

 Commissioner of Patents and Trademarks
 Box Assignments
 Washington, D.C. 20231

 PATENT
 REEL: 9654 FRAME: 0471

ASSIGNMENT (JOINT)

THIS ASSIGNMENT, by CHRISTOF SAUTTER, HEINZ WALDNER, and INGO POTRYKUS, residing at CHRISTEGÄSSLI 3, 8197 RAFZ, SWITZERLAND, RIEDGRABENWEG 28, 8050 ZURICH, SWITZERLAND and IM STIGLER 54, 4312 MAGDEN, SWITZERLAND, respectively (hereinafter referred to as "the Assignors") witnesseth:

WHEREAS, the Assignors have invented certain new and useful improvements in PROCESS AND APPARATUS FOR THE GENETIC TRANSFORMATION OF CELLS, ☐ which is a provisional application to be filed herewith; ☐ which is a non-provisional application having an oath or declaration executed on even date herewith prior to filing of application; ☒ bearing Application No. 08/478,389, and filed on JUNE 7, 1995; and

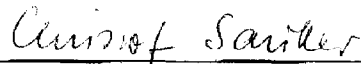
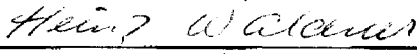

WHEREAS, NOVARTIS FINANCE CORPORATION AND SCHWEIZERISCHE EIDGENOSSENSCHAFT EIDGENOSSISCHE TECHNISCHE HOCHSCHULE (ETH), duly organized under and pursuant to the laws of NEW YORK AND SWITZERLAND, respectively, and having their principal place of business at 608 FIFTH AVENUE, NEW YORK, NEW YORK 10020 and ETH ZENTRUM, RAMISTRASSE 101, CH-8092, ZURICH, SWITZERLAND, respectively (hereinafter referred to as "the Assignees"), are desirous of acquiring, in equal and indivisible portions, the entire right, title, and interest in and to said inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications, including provisional applications for Letters Patent of the United States or other countries claiming priority to said application, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, the Assignors have sold, assigned, transferred, and set over, and by these presents do sell, assign, transfer, and set over, unto the Assignees, their successors, legal representatives, and assigns the entire right, title, and interest in and to the above-mentioned inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications for Letters Patent of the United States or other countries claiming priority to said application, and any and all Letters Patent or Patents of the United States of America and all foreign countries that may be granted therefor and thereon, and in and to any and all applications claiming priority to said applications, divisions, continuations, and continuations-in-part of said applications, and reissues and extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed equally and indivisibly by the Assignees, for their own use and behalf and the use and behalf of their successors, legal representatives, and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted as fully and entirely as the same would have been held and enjoyed by the Assignors had this sale and assignment not been made;

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignees, their successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, the Assignors are the sole and lawful owners of the entire right, title, and interest in and to the inventions set forth in said applications and said applications, including provisional applications, above-mentioned, and that the same are unencumbered, and that the Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth;

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignees, their successors, legal representatives, and assigns that the Assignors will, whenever counsel of the Assignees, or the counsel of their successors, legal representatives, and assigns, shall advise that any proceeding in connection with said inventions or said applications for Letters Patent or Patents, or any proceeding in connection with Letters Patent or Patents for said inventions in any country, including interference proceedings, is lawful and desirable, or that any application claiming priority to said application, division, continuation, or continuation-in-part of any applications for Letters Patent or Patents, or any reissue or extension of any Letters Patent or Patents to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement, and defense of Letters Patent or Patents for said inventions, without charge to the Assignees, their successors, legal representatives, and assigns, but at the cost and expense of the Assignees, their successors, legal representatives, and assigns;

AND the Assignors hereby request the Commissioner of Patents to issue any and all said Letters Patent of the United States to the Assignees as the joint Assignees of said inventions, the Letters Patent to be issued for the sole use and behalf of the Assignees, their successors, legal representatives, and assigns.

| | | | |
|------|-----------------|-----------------------|---|
| Date | <u>12/09/98</u> | Signature of Assignor | <u></u> Christof SAUTTER |
| Date | <u>12/09/98</u> | Signature of Assignor | <u></u> HEINZ WALDNER |
| Date | <u>12/09/98</u> | Signature of Assignor | <u></u> INGO POTRYKUS |