

08-16-1999

2 SHEET



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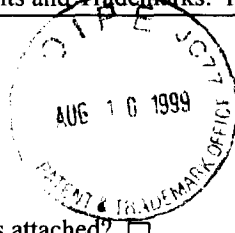
Our Ref.: 2009-21

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

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

1. Name of conveying party(ies):
Tokyo Tanabe Co., Ltd.

8-10-99



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

Name: TT Pharmaceuticals, Inc.

Internal Address:

Street Address: 2-6, Nihonbashi-Honcho 2-Chome

City: Chuo-ku, Tokyo

State/Country: Japan

Zip: 103-8405

Additional name/s of conveying party/ies attached? ☐

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Assignment ☐ Change of Name
☐ Other

Execution Date: August 1, 1999

Additional name/s & address/es attached? ☐ Yes ☒ No

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:

A. Patent Application No(s).

- (1) 09/155,232
(2)
(3)

B.

- (1) 4,338,301
(2) 4,397,839
(3) 4,602,086

Additional numbers attached ☒ Yes ☐ No

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

Name: Larry S. Nixon

Internal Address:

Street Address: Nixon & Vanderhye P.C.

1100 North Glebe Road

8th Floor

City: Arlington State: VA Zip: 22201

6. Total number of applications & patents involved: 1

7. Total fee (37 CFR 3.41)

\$ 1120.00

☒ Enclosed

☐ Authorized to be charged to deposit account #14-1140

8. The Commissioner is hereby authorized to charge any deficiency in the fee(s) filed, or asserted to be filed, or which should have been filed herewith (or with any paper thereafter filed in this application by this firm) to our Account No. 14-1140.

08/13/1999 DC00TES 00000000 09155232

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1120.00 DP

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9. Statements 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.

Larry S. Nixon

Name of Person Signing

Reg. No. 25,640

Larry S. Nixon
Signature

August 10, 1999

Date

Total number of pages including original cover sheet, attachments, and document: [7]

RECORDATION FORM COVER SHEET

PATENTS ONLY

Our Ref.: 2009-21

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

1. Name of conveying party(ies):



2. Name:

Street Address:

City:

State:

Zip:

4. Application number(s) or patent number(s):

A. Patent No(s).

(4) 4,603,124	(10) 5,164,183	(16) 5,677,326	(22) 5,849,801
(5) 4,753,955	(11) 5,451,510	(17) 5,720,439	(23) 5,863,550
(6) 4,808,596	(12) 5,480,781	(18) 5,798,120	(24) 5,869,319
(7) 4,977,157	(13) 5,525,605	(19) 5,827,825	(25) 5,900,401
(8) 5,013,576	(14) 5,648,457	(20) 5,840,741	(26) 5,538,195
(9) 5,151,450	(15) 5,661,166	(21) 5,846,964	(27) 5,601,873

PATENT ASSIGNMENT AGREEMENT

UNITED STATES

THIS PATENT ASSIGNMENT AGREEMENT made this 1st day of August, 1999 (hereinafter referred to as the "Agreement"), between TOKYO TANABE CO., LTD., a company organized under the laws of Japan, with offices at 2-6, Nihonbashi-Honcho 2-chome, Chuo-ku, Tokyo 103-8405, Japan (hereinafter referred to as "Tanabe") and TT PHARMACEUTICALS, INC., a company organized under the laws of Japan, with offices at 2-6, Nihonbashi-Honcho 2-chome, Chuo-ku, Tokyo 103-8405, Japan (hereinafter referred to as "TT"), a wholly-owned subsidiary of Tanabe:

WHEREAS, Tanabe and Mitsubishi Chemical Corporation (hereinafter, "Mitsubishi") will merge on October 1, 1999 in order to consolidate the medical drug businesses of the two companies (hereinafter referred to as the "Merger");

WHEREAS, as part of the Merger, TT will become a wholly-owned subsidiary of the surviving company from the Merger and will manage and operate the consolidated medical drug businesses of Tanabe and Mitsubishi;

WHEREAS, Tanabe and TT have entered into an agreement, dated as of April 2, 1999, pursuant to which Tanabe's assets will be assigned to TT (hereinafter referred to as the "Property Transfer Agreement");

WHEREAS, the parties have agreed that Tanabe will assign all of its rights to inventions, patents and patent applications to TT;

NOW, THEREFORE, in consideration of the mutual promises and agreements in the Property Transfer Agreement and contained herein, and for other good and valuable consideration, the receipt of which is hereby acknowledged, Tanabe and TT hereby agree as follows:

1. For the purposes of this Agreement, "Assigned Patent Rights" shall mean all right, title and interest in any inventions, patents or patent applications held by Tanabe in the United States as of the date of this Agreement, including but not limited to the patents, patent applications, and any patents issuing therefrom as listed in Appendices A and B attached hereto; and all divisional, continuing, continuing-in-part, renewal, reissue, re-examination, or any other patent applications based upon any such patents and/or patent applications, and any patents issuing therefrom. To the extent that, as of the date of this Agreement, Tanabe holds less than the entire right, title and interest to any such patents or patent applications as listed in Appendix B, the Assigned Patent Rights shall include the entirety of Tanabe's interest therein.

2. Tanabe hereby assigns, conveys and delivers to TT, its successors, assigns and legal representatives, Tanabe's entire right, title and interest in and to the Assigned Patent Rights and all rights and privileges relating thereto, including but not limited to the right to recover and take all such proceedings as may be necessary for the recovery of

damages or otherwise in respect of past, present and future infringement of the Assigned Patent Rights, and to retain all revenues received from others for past, present and future acts of infringement of the Assigned Patent Rights, such rights to be held by TT for its use as fully and entirely as the same would have been held by Tanabe if this assignment had not been made.

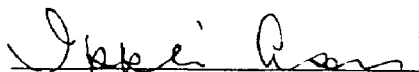
3. Tanabe hereby authorizes and requests the appropriate officers in the United States Patent and Trademark Office to issue to TT any and all patents that may be granted upon applications forming a part of the Assigned Patent Rights, and to record or otherwise index this Assignment against any and all of such patents and patent applications forming a part of the Assigned Patent Rights.

4. Tanabe further agrees for itself, its successors and assigns to execute, without further consideration, any further legal documents, including any further assignments, that may be necessary to complete the assignment of Tanabe's interest in and to the Assigned Patent Rights. In the event of a conflict or inconsistency between the terms and conditions of this Agreement and the terms and conditions of any such legal document, and unless otherwise agreed in writing, the terms and conditions of this Agreement shall be controlling.


5. This Agreement does not limit, restrict, amend, or otherwise modify any definition, term or provision contained in the Property Transfer Agreement, or any other patent assignment agreement that may be entered into between Tanabe and TT. In the event of a conflict or inconsistency between the terms and conditions of this Agreement and the terms and conditions of the Property Transfer Agreement, the terms and conditions of this Agreement control; provided, however, that if there is a patent or patent application listed as being assigned or sold to TT on the schedules of the Property Transfer Agreement but not listed in Appendices A or B attached hereto, Tanabe hereby assigns and transfers, to TT, all of its rights, title and interest, under the terms and conditions of this Agreement as if it was listed on Appendix A or B attached hereto.

IN WITNESS WHEREOF, the parties have caused this Agreement to be duly executed as of the date hereof.

TOKYO TANABE CO., LTD.


Ippei Asai, President

TT PHARMACEUTICALS, INC.


Ippei Asai, President

APPENDIX A
TO THE PATENT ASSIGNMENT AGREEMENT BETWEEN
TOKYO TANABE CO., LTD. AND TT PHARMACEUTICALS, INC.

UNITED STATES

1. PATENTS

Patent No.	Title of invention	Name of Inventor(s)	Issue Date (mm/dd/yy)
4,338,301	Lung tissue extract useful for treating hyaline-membrane disease and method for producing the extract	Tetsuro Fujiwara, Yuji Tanaka, Tsunetomo Takei	07/06/82
4,397,839	Surface active material and process for preparing same	Yuji Tanaka	08/09/83
4,602,086	Method of producing solution containing D-ribose	Hiroshi Namikiri, Takeshi Tobe, Masahiko Hattori	07/22/86
4,603,124	Surfactant and pharmaceutical compositions containing same	Tsunetomo Takei, Yosaku Kanazawa, Kazuo Masuda, Yuji Tanaka	07/29/86
4,753,955	Benzimidazole derivatives	Naoto Matsuishi, Haruki Takeda, Kenichi Iizumi, Kiyokazu Murakami, Akira Hisamitsu	06/28/88
4,808,596	Imidazo[4,5-b] pyridine compounds and pharmaceutical compositions containing same	Naoto Matsuishi, Haruki Takeda, Kenichi Iizumi, Kiyokazu Murakami, Akira Hisamitsu	02/28/89
4,977,157	Aqueous preparation of 9-methyl-3-(1H-tetrazol-5-yl)-4H-pyrido[1,2-a]pyrimidin-4-one potassium salt	Takashi Yazaki, Kazunori Takuma	12/11/90
5,013,576	Gourd powder composition	Shinzo Nakazawa, Taro Tsukada, Eiichi Suzuki	05/07/91
5,151,450	Antiulcer substance	Kiyokazu Murakami, Susumu Yokura	09/29/92
5,164,183	Growth promoter for bifidobacterium species and method of using the same	Akihiko Komoda, Eiichi Katsunuma, Minoru Uchida	11/17/92

Patent No.	Title of invention	Name of Inventor(s)	Issue Date (mm/dd/yy)
5,451,510	Process for preparing 3 α , 7 α -dihydroxy-12-keto-5 β -cholic acid using bacillus spp. FERM BP-3394 and FERM BP-3397	Hiromi Kimura, Akio Okamura, Hiroshi Kawaide	09/19/95
5,480,781	Bacillus strains for oxidizing hydroxy groups of cholic acid and cheno deoxycholic acid to keto groups	Hiromi Kimura, Akio Okamura, Hiroshi Kawaide, Takurou Yamaura	01/02/96
5,525,605	Remedy for inflammatory intestinal diseases	Shigeki Omura	06/11/96
5,648,457	Purification method for hydrophobic polypeptide	Tsunetomo Takei, Toshimitsu Aiba, Kaoru Sakai, Tetsuro Fujiwara	07/15/97
5,661,166	Saishin N compounds, process for preparing same and antiulcer agents containing same	Susumu Yokura, Kiyokazu Murakami, Nobuo Takoi, Hiroyuki Iizuka, Eiji Ohtubo	08/26/97
5,677,326	Indoline compound and 5-HT.sub.3 receptor antagonist containing the same as active ingredient	Shinji Tsuchiya, Nobuyuki Yasuda, Atsushi Fukuzaki, Koichi Kazama	10/14/97
5,720,439	High speed agitated granulation method and high speed agitated granulating machine	Shinzo Nakazawa, Shoichi Moro	02/24/98
5,798,120	Enteric granule-containing tablets	Tomohisa Matsushita, Mitsuo Hashimoto	08/25/98
5,827,825	Synthetic peptide, lung surfactant containing the same and remedy for respiratory distress syndrome	Tsunetomo Takei, Eiji Ohtsubo, Hiroshi Ohkawa	10/27/98
5,840,741	Arteriosclerosis depressant	Hisao Tomioka, Hidefumi Ohsawa, Masao Moroi, Toshio Kawashima	11/24/98
5,846,964	Hepatitis C virus proliferation inhibitor	Tsuneo Ozeki	12/08/98

Patent No.	Title of invention	Name of Inventor(s)	Issue Date (mm/dd/yy)
5,849,801	4-amino-5-oxy-2,6,6-trimethyl-2-cycloheptene compounds	Susumu Yokura, Masao Yajima, Kiyokazu Murakami, Kouichi Matsunaga	12/15/98
5,863,550	Cholestasis ameliorant	Minoru Maeda, Kumiko Koiso, Shozaburo Sekido	01/26/99
5,869,319	Bile acid-converting microorganism <i>Bacillus</i> sp. and a method of use	Akio Okamura, To-oru Ogata, Hiromi Kimura	02/09/99
5,900,401	Remedy for respiratory-tract viral disease	Hiroshi Kido, Masato Tashiro, Shozaburo Sekido	05/04/99

2. PATENT APPLICATIONS

Application No.	Title of Invention	Inventor(s)	Filing Date (mm/dd/yy)
09/155,232	Novel bile acid converting microorganism and process for preparing bile acid	Akio Okamura, Hiroyuki Matsui	3/21/97 (international filing date)
09/065,077	Phenylethanolamine compounds useful as beta3 agonist, process for producing the same, and intermediates in the production of the same	Susumu Tsuchiya, Nobuyuki Yasuda, Toshifumi Matsumoto, Kozo Hiratsuka, Hiroyuki Iizuka, Atsusi Hukuzaki, Kouichi Matsunaga	4/24/98
08/894,855	Process for produing indoline compunds and intermediates for the production of the same	Nobuyuki Yasuda, Shin-Ichi Kunii, Kouichi Kazama	2/16/96 (international filing date)

APPENDIX B

(UNITED STATES PATENTS OF WHICH TOKYO TANABE IS A JOINT OWNER)

Patent No.	Title of Invention	Inventor(s)	Issue Date (mm/dd/yy)
5,538,195	Device for granulating and coating and baffle device for same	Shinzo Nakazawa, Shoichi Moro, Shuri Yamada, Masanori Ogawa (owned jointly with Freund Industrial Co., Ltd.)	7/23/96
5,601,873	Method for granulating and coating	Shinzo Nakazawa, Shoichi Moro, Shuri Yamada, Masanori Ogawa (owned jointly with Freund Industrial Co., Ltd.)	2/11/97
5,081,243	Process for producing 3-tetrazolyl pyrido[1,2-a]pyrimidine derivatives	Atsunori Sano, Masami Ishihara, Jun Yoshihara, Hiroyoshi Nawa (owned jointly with Wako Pure Chemical Industries, Ltd.)	1/14/92