

10-25-1999

OMB No. 0651-0011 (exp. 4/94)



10/21/99

To the Honorable Commissioner

101181081

ie attached original documents or copy thereof.

1. Name of conveying party(ies):
(A) James Madison Ligon, (B) Dwight Steven Hill
(C) Stephen Ting Lam, (D) Philip Eugene Hammer
(E) Karl-Heinz van Pee, (F) Sabine Kirner
(G) Thomas R. Young

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Date: April 20, 1998 (G); April 16, 1998 (C); April
15, 1998 (A), (B), (D); April 9, 1998 (E), April 7, 1998 (F)

2. Name and address of receiving party(ies)

Name: Novartis Finance Corporation

Internal Address: _____

Street Address: 608 Fifth Avenue

City: New York State: New York ZIP: 10020

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)

09/028,934

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: J. Timothy Meigs

Internal Address: Novartis Corporation

Patent and Trademark Dept.

Street Address: 3054 Cornwallis Road

City: Durham State: NC ZIP: 27709-2257

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40

- ☐ Enclosed
☒ Authorized to be charged to deposit account and any other additional fees required.

8. Deposit account number:

19-0134 (in the name of Novartis Corporation)

(Attach duplicate copy of this page if paying by deposit account)

10/22/1999 DNGUYEN 00000340 190134 09028934

01 FC:581 40.00 CH

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.

J. Timothy Meigs

Name of Person Signing
Reg. No. 38,241

[Signature]
Signature

19-Oct-1999
Date

☒ Certificate of mailing on reverse side

Total number of pages including cover sheet, attachments, and document: 10

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

PATENT
REEL: 010320 FRAME: 0598

ASSIGNMENT

We,

James Madison Ligon	residing at	3616 South Pointe Drive Apex, North Carolina 27502
Dwight Steven Hill	residing at	311 Melanie Lane Cary, North Carolina 27511
Stephen Ting Lam	residing at	8900 Jeanew Court Raleigh, North Carolina 27613
Philip Eugene Hammer	residing at	215 Covington Square Cary, North Carolina 27513
Karl-Heinz van Pee	residing at	Carl-Behrens-Str. 23 Bannewitz D-01728 Germany
Sabine Kirner	residing at	Oskar-Maria-Graf-Str. 14 Puchheim D-82178 Germany
Thomas R. Young	residing at	5865 34th Lane Vero Beach, Florida 32966,

for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, do hereby sell and assign to **Novartis Finance Corporation**, a New York corporation, 608 Fifth Avenue, New York, New York 10020, its successors, assigns and legal representatives, all our right, title and interest, which includes the right to and full benefit of such priorities as may now or hereafter be granted to us by local laws or by treaty, including any international convention for the protection of industrial property, in and for the United States and its territories and possessions in and to the invention entitled:

Pyrrolnitrin Biosynthesis Genes and Uses Thereof

invented by us and described in the application for United States Letters Patent

Application No. 09/028,934, filed February 24, 1998,

including (1) said application for United States Letters Patent and all continuations and divisions thereof (including further continuations and divisions such as, but not limited to, continuations of

continuations and divisions of continuations), (2) all United States Letters Patent which may be issued and/or granted on all such applications, (3) all applications for reissues and extensions of and reexamination certificates for all such United States Letters Patent and (4) all reissues and extensions and reexamination certificates issued for all such United States Letters Patent, the said interest being the entire ownership of said invention and all of said applications, United States Letters Patent (including reissue Letters Patent), extensions and reexamination certificates to be held and enjoyed by the said Novartis Finance Corporation and its successors and assigns to the full end of the terms to which said United States Letters Patent (including reissue Letters Patent), extensions and reexamination certificates may be granted and/or issued, as fully and entirely as the same would have been held and enjoyed by us if this sale, assignment and transfer had not been made;

And we hereby agree to sign and/or execute any further documents and/or instruments which may be necessary, lawful and proper in and/or for the filing and/or prosecution of said applications for United States Letters Patent (including reissue Letters Patent), extensions and reexamination certificates and/or the granting and/or issuance thereof and/or to otherwise secure title to said invention and all of said applications, United States Letters Patent (including reissue Letters Patent), extensions and reexamination certificates in said assignee.

Signed this 15 day of April, 1998 by James M. Ligon
James Madison Ligon

Signed this 15 day of April, 1998 by Dwight Steven Hill
Dwight Steven Hill

Signed this 16 day of April, 1998 by Stephen Ting Lam
Stephen Ting Lam

Signed this 15 day of April, 1998 by Philip Eugene Hammer
Philip Eugene Hammer

Signed this 9 day of April, 1998 by Karl-Heinz van Pee
Karl-Heinz van Pee

Signed this day of , 1998 by _____
Sabine Kirner

Signed this day of , 1998 by _____
Thomas R. Young

ASSIGNMENT

We,

James Madison Ligon	residing at	3616 South Pointe Drive Apex, North Carolina 27502
Dwight Steven Hill	residing at	311 Melanie Lane Cary, North Carolina 27511
Stephen Ting Lam	residing at	8900 Jeanew Court Raleigh, North Carolina 27613
Philip Eugene Hammer	residing at	215 Covington Square Cary, North Carolina 27513
Karl-Heinz van Pee	residing at	Carl-Behrens-Str. 23 Bannewitz D-01728 Germany
Sabine Kirner	residing at	Oskar-Maria-Graf-Str. 14 Puchheim D-82178 Germany
Thomas R. Young	residing at	5865 34th Lane Vero Beach, Florida 32966,

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Signed this day of , 1998 by _____
James Madison Ligon

Signed this day of , 1998 by _____
Dwight Steven Hill

Signed this day of , 1998 by _____
Stephen Ting Lam

Signed this day of , 1998 by _____
Philip Eugene Hammer

Signed this day of , 1998 by _____
Karl-Heinz van Pee

Signed this day of 07. April, 1998 by 
Sabine Kirner

Signed this day of _____, 1998 by _____
Thomas R. Young

ASSIGNMENT

We,

James Madison Ligon	residing at	3616 South Pointe Drive Apex, North Carolina 27502
Dwight Steven Hill	residing at	311 Melanie Lane Cary, North Carolina 27511
Stephen Ting Lam	residing at	8900 Jeanew Court Raleigh, North Carolina 27613
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And we hereby agree to sign and/or execute any further documents and/or instruments which may be necessary, lawful and proper in and/or for the filing and/or prosecution of said applications for United States Letters Patent (including reissue Letters Patent), extensions and reexamination certificates and/or the granting and/or issuance thereof and/or to otherwise secure title to said invention and all of said applications, United States Letters Patent (including reissue Letters Patent), extensions and reexamination certificates in said assignee.

Signed this day of , 1998 by _____
James Madison Ligon

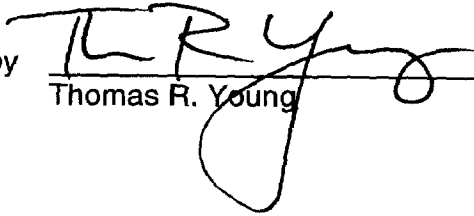
Signed this day of , 1998 by _____
Dwight Steven Hill

Signed this day of , 1998 by _____
Stephen Ting Lam

Signed this day of , 1998 by _____
Philip Eugene Hammer

Signed this day of , 1998 by _____
Karl-Heinz van Pee

Signed this day of , 1998 by _____
Sabine Kirner

Signed this 20 day of April , 1998 by  _____
Thomas R. Young