

12-16-1999

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**PATENTS ONLY**

FORM PTO-1595

DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Attorney Ref. No. 96,059-DDD

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

1. Name of conveying parties:  
Pamela Albaugh, Gang Liu, Kenneth Shaw and Alan Hutchison  
Additional name(s) of conveying party(ies) attached?  Yes  No

2. Name and address of receiving party(ies)  
Name: Neurogen Corporation  
Internal Address: \_\_\_\_\_

3. Nature of conveyance:  
 Assignment  Merger  
 Security Agreement  Change of Name  
 Other :  
Execution Date: October 21, 1999, November 11, 1999 and November 17, 1999

Street Address: 35 Northeast Industrial Road  
City: Branford State: Connecticut Zip: 06405  
Additional name(s) & address(es) attached?  Yes  No

4. Application number(s) or patent number(s): 1  
If this document is being filed together with a new application, the execution date of the application is:  
A. Patent Application No.(s)  
09/387,313

B. Patent No.(s)  
Additional numbers attached?  Yes  No

5. Name and address of party to whom correspondence concerning document should be mailed:  
Name: Steven J. Sarussi  
Company Name: McDonnell, Boehnen, Hulbert & Berghoff  
Street Address: 300 South Wacker Drive, Suite 3200  
City: Chicago State: IL ZIP: 60606

6. Total number of applications and patents involved: 1  
7. Total Fee (37 CFR 3.41)..... \$40.00  
 Enclosed  
 Authorized to be charged to deposit account  
8. Deposit account number: 13-2490

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*  
Steven J. Sarussi  
Printed Name of Person Signing

Date: November 23, 1999

Signature

Total number of pages including cover sheet, attachments, and document: 6

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

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

12/15/1999 TTON11

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PATENT  
REEL: 010433 FRAME: 0001

ASSIGNMENT

Case No.: 96,059-DD

Serial No.: 09/387,313

Inventors: Pamela Albaugh, Gang Liu, Kenneth Shaw and Alan Hutchison

Date of Execution

of Application: \_\_\_\_\_

Filing Date: August 31, 1999

In consideration of One Dollar (\$1.00) and other good and valuable considerations in hand paid, the receipt and sufficiency whereof are hereby acknowledged, the undersigned hereby assign to:

**NEUROGEN CORPORATION, a corporation of the State of Delaware**

its successors and assigns, the entire right, title and interest in the invention or improvements of the undersigned disclosed in an application for Letters Patent of the United States, entitled:

**FUSED PYRROLECARBOXAMIDES; A NEW CLASS  
OF GABA BRAIN RECEPTOR LIGANDS**

and identified as:

**Case No. 96,059-DDD**

in the offices of MCDONNELL BOEHNEN HULBERT & BERGHOFF and in said application and any and all other applications, both United States and foreign, which the undersigned may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States and foreign countries, which may be obtained on any of said applications, and in any reissue or extension of such patents, and further assigns to said assignee the priority right provided by the International Convention.

The undersigned hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said assignee.

The undersigned hereby authorize and request the attorneys of record in said application to insert in this assignment the filing date and serial number of said application when officially known, and the date of execution of the application.

The undersigned warrant themselves to be the owners of the entire right, title and interest in said invention or improvements and to have the right to make this assignment, and further warrant that there are no outstanding prior assignments, licenses, or other encumbrances on the interest herein assigned.

For said considerations the undersigned hereby agree, upon the request and at the expense of said assignee, its successors and assigns, to execute any and all divisional, continuation and substitute applications for said invention or improvements, and any necessary oath, affidavit or declaration relating thereto, and any application for the reissue or extension of any Letters Patent that may be granted upon said application and any and all applications and other documents for Letters Patent in foreign countries on said invention or improvements, that said assignee, its successors or assigns may deem necessary or expedient, and for the said considerations the undersigned authorize said assignee to apply for patents for said invention or improvements in its own name in such countries where such procedure is proper and further agree, upon the request of said assignee, its successors and assigns, to cooperate to the best of the ability of the undersigned with said assignee, its successors and assigns, in any proceedings or transactions involving such applications or patents, including the preparation and execution of preliminary statements, giving and producing evidence, and performing any and all other acts necessary to obtain, maintain and enforce said Letters Patent, both United States and foreign, and vest all rights therein hereby conveyed in the assignee, its successors and assigns, whereby said Letters Patent will be held and enjoyed by the said assignee, its successors and assigns, to the full end of the term for which said Letters Patent will be granted, as fully and entirely as the same would have been held and enjoyed by the undersigned if this assignment had not been made

**PATENT  
REEL: 010433 FRAME: 0002**

WITNESS my hand and seal this 17 day of Nov, 1999.

Pamela Albaugh  
Pamela Albaugh

State of CT

County of New Haven

The foregoing instrument was acknowledged before me this 17<sup>th</sup> day of

Nov, 1999 by Pamela Albaugh

Carolyn Montes  
NOTARY PUBLIC

My Commission Expires April 30, 2003

WITNESS my hand and seal this 21 day of October, 1999.

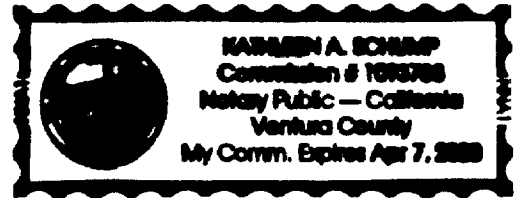
Gang Liu  
Gang Liu

State of California

County of Ventura

The foregoing instrument was acknowledged before me this 21 day of

October, 1999 by Gang Liu



Kathleen A. Schump  
NOTARY PUBLIC

WITNESS my hand and seal this 17 day of Nov, 1999

Kenneth Shaw  
Kenneth Shaw

State of CT

County of New Haven

The foregoing instrument was acknowledged before me this 17 day of

Nov, 1999 by Kenneth Shaw

Carolyn Montes  
NOTARY PUBLIC

My Commission Expires April 30, 2003

WITNESS my hand and seal this 11th day of November, 1999.

Alan Hutchison  
Alan Hutchison

State of CT

County of New Haven

The foregoing instrument was acknowledged before me this 17 day of

Nov, 1999 by Alan Hutchison

Carolyn Morley  
NOTARY PUBLIC

My Commission Expires April 30, 2003

**CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT**

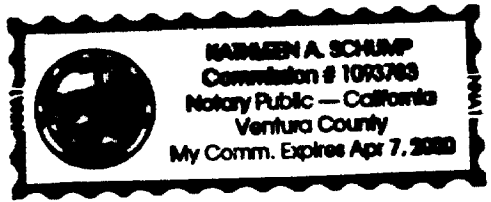
State of California

County of Ventura

On October 21, 1999 before me, Kathleen A. Schump, Notary Public  
Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Gang Liu  
Name(s) of Signer(s)

personally known to me - OR -  proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.



WITNESS my hand and official seal.

Kathleen A. Schump  
Signature of Notary Public

**OPTIONAL**

*Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.*

**Description of Attached Document**

Title or Type of Document: Assignment

Document Date: August 31, 1999 Number of Pages: Three

Signer(s) Other Than Named Above: none

**Capacity(ies) Claimed by Signer(s)**

Signer's Name: Gang Liu

- Individual
- Corporate Officer
- Title(s): \_\_\_\_\_
- Partner — Limited  General
- Attorney-in-Fact
- Trustee
- Guardian or Conservator
- Other: \_\_\_\_\_

**RIGHT THUMBPRINT OF SIGNER**  
Top of thumb here

Signer Is Representing: Self

Signer's Name \_\_\_\_\_

- Individual
- Corporate Officer
- Title(s): \_\_\_\_\_
- Partner — Limited  General
- Attorney-in-Fact
- Trustee
- Guardian or Conservator
- Other: \_\_\_\_\_

**RIGHT THUMBPRINT OF SIGNER**  
Top of thumb here

Signer Is Representing: \_\_\_\_\_