

06-08-2000

REC



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101375964

To the Honorable Commissioner of Pate,

101-373304
 ...enclosure. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

George S. Cockerill
Malcolm C. Carter
Stephen B. Guntrip
Kathryn J. Smith

MD
6.7.00

Additional name(s) of conveying party(ies) attached?

3. Nature of conveyance:

X Assignment

Merger

Security Agreement _____
Other _____

Change of Name

Execution Date: 13 July 1996

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

Name: **Glaxo Wellcome Inc.**

Internal Address:

Global Intellectual Property Department

**Street Address: Five Moore Drive, PO Box 13398
Research Triangle Park, NC 27709-3398**

Additional name(s) & address(es) attached?

Yes

No

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

PCT/EP97/03673 filed 11 July 1997
09/214,261 filed 31 December 1998

If this document is being filed together with a new application, the Express Mail date of the application is:..

A. Patent Application No.(s)

Patent No.(s)

Additional numbers attached?

Yes

X No

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

Name: **David J. Levy**
Patent Counsel

Internal Address: **Glaxo Wellcome Inc.**
Global Intellectual Property

Street Address: **Five Moore Drive**
PO Box 13398

City: **RTP** State: **NC** Zip: **27709**

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: **07-1392**

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.

John L. Lemanowicz X

Name

Signature _____

Date _____

Total number of pages comprising cover sheet:1 of 1

A/D 581-40

09/214261
U.S. Department of Commerce
Patent and Trademark Office

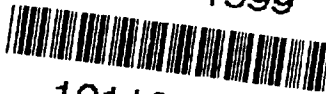
405 Rec'd PCT/PTO 31 DEC 1998

mi 20
12-31-98

RECC

FORM COVER SHEET

08-25-1999



101125563

Our Ref.: 1430-207

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

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

1. Name of conveying party(ies):

George S. COCKERILL
Malcolm C. CARTER

Stephen B. GUNTRIP
Kathryn J. SMITH

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

3. Nature of conveyance:

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

Execution Date: 13 July 1996

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

Name: GLAXO RESEARCH AND DEVELOPMENT
LIMITED

Internal Address:

Street Address: Glaxo Wellcome House, Berkley Avenue

City: Greenford, Middlesex

State/Country: England

Zip: UB6 0NN

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: 13 July 1996

A. Patent Application No(s).

- (1) Unknown
(2)
(3)

B. Patent No(s).

- (1)
(2)
(3)

09/214261

Additional numbers attached ☐ Yes ☒ No

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

Name: Arthur R. Crawford

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)

\$ 40.00

☒ 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.

DO NOT USE THIS SPACE

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.

Arthur R. Crawford

Name of Person Signing
Reg. No. 25,327

Signature

December 31, 1998

Date

Total number of pages including original cover sheet, attachments, and document: [4]

ASSIGNMENT

WHEREAS I/WE, George Stuart COCKERILL, Malcolm Clive CARTER, Stephen Barry GUNTRIP and Kathryn Jane SMITH all of Glaxo Wellcome plc, Gunnels Wood Road, Stevenage, Hertfordshire, SG1 2NY, GB (hereinafter called "the inventor(s)") have invented or discovered "BICYCLIC HETEROAROMATIC COMPOUNDS AS PROTEIN TYROSINE KINASE INHIBITORS" (hereinafter called "the invention") for which an application for Letters Patent in the United States of America was originally filed as International Application No. PCT/EP97/03673 on 11 July 1997 (hereinafter called "the application"), and

WHEREAS the invention, being made in the circumstances set out in Section 39(1)(a) of the United Kingdom Patents Act 1977, belongs to my/our employer, namely GLAXO WELLCOME plc, a company incorporated in England whose registered address is Lansdowne House, Berkeley Square, London W1X 6BQ, England, and

WHEREAS GLAXO RESEARCH AND DEVELOPMENT LIMITED, a company incorporated in England whose registered address is Glaxo Wellcome House, Berkeley Avenue, Greenford, Middlesex UB6 0NN, England, is desirous of acquiring from GLAXO WELLCOME plc the whole right, title and interest in and to the invention and the application, and

WHEREAS GLAXO WELLCOME plc and GLAXO RESEARCH AND DEVELOPMENT LIMITED have authorised and requested my/our making the application, and

WHEREAS GLAXO WELLCOME INC., a corporation organised and existing under and by virtue of the laws of the State of North Carolina and having its principal place of business at Five Moore Drive, Research Triangle Park, North Carolina 27709, USA is desirous of acquiring from GLAXO RESEARCH AND DEVELOPMENT LIMITED the whole right, title and interest in and to the invention and the application in respect of the United States of America;

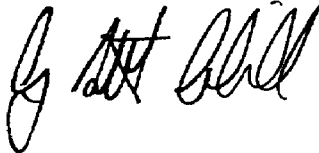
NOW, THEREFORE, to all whom it may concern be it known that I/we, the inventor(s), hereby confirm the ownership by **GLAXO WELLCOME plc** of the invention and the application by operation of law under the United Kingdom Patents Act 1977 and, if under the law of the United States of America I/we the inventor(s) have any ownership right, title and interest in the invention and the application (which I/we do not believe to be the case and claim no ownership right, title or interest in the invention and the application based on the law of the United Kingdom), I/we the inventor(s) nevertheless hereby assign and transfer such ownership right, title and interest in and to the invention and the application to **GLAXO WELLCOME plc**. **GLAXO WELLCOME plc** in turn hereby assigns and transfers to **GLAXO RESEARCH AND DEVELOPMENT LIMITED** its whole right, title and interest in and to the invention and the application. **GLAXO RESEARCH AND DEVELOPMENT LIMITED** in turn hereby assigns and transfers to **GLAXO WELLCOME INC.** its whole right, title and interest in and throughout the United States of America in and to the invention and the application and in and to any priority rights in respect of the invention and the application and in and to any divisional application, continuation or continuation in part application thereof, and in and to any extension or re-issue thereof, and I/we the inventor(s) and **GLAXO WELLCOME plc** and **GLAXO RESEARCH AND DEVELOPMENT LIMITED** hereby authorise and request any patent arising therefrom in the United States of America be issued to **GLAXO WELLCOME INC.**

AND GLAXO WELLCOME plc and **GLAXO RESEARCH AND DEVELOPMENT LIMITED** hereby, and I/we the inventor(s) for myself/ourselves and my/our respective executors and legal representatives hereby, agree to provide information and make execute and deliver any and all other instruments in writing, and any and all further acts, applications, papers, affidavits, assignments and other documents which may be possible and are necessary or desirable to more effectually secure to and vest in **GLAXO WELLCOME INC.**, its successors and assigns, the whole right, title and interest in and to the invention and the application hereby assigned and transferred in respect of the United States of America.

IT is hereby declared that each of the transactions hereby effected does not form part of a larger transaction or of a series of transactions in respect of which the amount or value, or the aggregate amount or value, of the consideration exceeds £60,000.

IN WITNESS whereof and with effect from the 13 day of July 1996 the inventor(s) and Graham George Brereton as Attorney of both GLAXO WELLCOME plc and GLAXO RESEARCH AND DEVELOPMENT LIMITED by virtue of Powers of Attorney granted by GLAXO WELLCOME plc and GLAXO RESEARCH AND DEVELOPMENT LIMITED respectively have hereunto set their respective hands.

SIGNED by GEORGE STUART COCKERILL:



in the presence of:

P.A. Skene

SIGNED by MALCOLM CLIVE CARTER:



In the presence of:

SADIE VILE

SIGNED by STEPHEN BARRY GUNTRIP:




In the presence of:

K. Biggadike

SIGNED by KATHRYN JANE SMITH:

K J SMITH

In the presence of:



SIGNED by Graham George Brereton as the Attorney of each of Glaxo Wellcome plc and Glaxo Research and Development Limited:



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: COCKERILL, et al

Application No.: 09/214,261

Art Unit:

Filed: December 31, 1998

Examiner:

For: BICYCLIC HETEROCYCLIC COMPOUNDS AS PROTEIN TYROSINE KINASE
INHIBITORSAssistant Commissioner of Patents
Box Assignments
Washington, D.C. 20231JUN 1 - 7 PM 3:39
SPR/FINANCEREQUEST FOR CORRECTED ASSIGNMENT RECORDATION NOTICE
CORRECTION OF ERROR IN RECORDED COVER LETTER

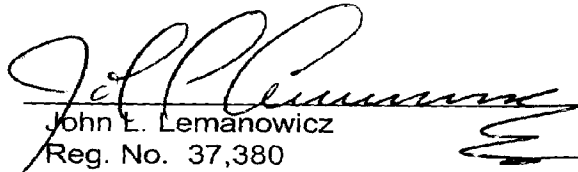
Madam:

1. The Notice of Recordation dated September 21, 1999 does not have the correct Assignee listed. The assignee should be:

GLAXO WELLCOME INC.
FIVE MOORE DRIVE, PO BOX 13398
RESEARCH TRIANGLE PARK, NC 27709
2. Attached is a copy of the September 21, 1999 Notice of Recordation, a copy of the assignment cover letter, a corrected cover letter which indicates that Glaxo Wellcome Inc. is the assignee, and a copy of the recorded assignment document.
3. The error is apparent when the cover letter is compared with the recorded assignment

Please make the necessary corrections and send to the address below.

Thank you.


John E. Lemanowicz
Reg. No. 37,380Date: 6/1/00
Glaxo Wellcome Inc.
Five Moore Drive, PO Box 13398
Research Triangle Park, NC 27709
Phone: (919) 483-1304
Fax: (919) 483-7988

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner of Patents and Trademarks, Assignment Division, Box Assignments, Washington D.C. 20231.

Date: June 1, 2000
Keysha Bishop

1430-207
ARC
OCTOBER 22, 1999

NIXON & VANDERHYE P.C.
ARTHUR R. CRAWFORD
1100 NORTH GLEBE ROAD
8TH FLOOR
ARLINGTON, VA 22201

PTAS



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231



101125563A

**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/31/1998

REEL/FRAME: 010178/0802
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

COCKERILL, GEORGE S.

DOC DATE: 07/13/1996

ASSIGNOR:

CARTER, MALCOLM C.

DOC DATE: 07/13/1996

ASSIGNOR:

GUNTRIP, STEPHEN B.

DOC DATE: 07/13/1996

ASSIGNOR:

SMITH, KATHRYN J.

DOC DATE: 07/13/1996

ASSIGNEE:

GLAXO RESEARCH AND DEVELOPMENT
LIMITED
GLAXO WELLCOME HOUSE, BERKLEY
AVENUE
GREENFORD, MIDDLESEX, ENGLAND

UB6 ONN

**PATENT
REEL: 010827 FRAME: 0767**

SERIAL NUMBER: 09214261
PATENT NUMBER:

FILING DATE: 12/31/1998
ISSUE DATE:

MAYA BENNETT, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS