

09-08-2000



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FORM PTO-1595

# 101452619 PATENT COVER SHEET PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Attorney Ref. No. 99,197-A

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

|                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |    |                           |    |               |  |             |  |  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|---------------------------|----|---------------|--|-------------|--|--|
| 1. Name of conveying parties:<br><br>Jun Yuan, George D. Maynard, Alan Hutchison, and Stanislaw Rachwal<br><br>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                      | 2. Name and address of receiving party(ies)<br><br>Name: Neurogen Corporation<br><br>Internal Address: _____<br><br>_____<br><br>Street Address: 35 Northeast Industrial Road<br>City: Branford State: Connecticut Zip: 06405<br><br>Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                          |    |                           |    |               |  |             |  |  |
| 3. Nature of conveyance:<br><br><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger<br><input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name<br><input type="checkbox"/> Other :<br>Execution Date: July 28, 2000 and July 31, 2000 | 4. Application number(s) or patent number(s): 1<br><br>If this document is being filed together with a new application, the execution date of the application is:<br><br><table border="1"> <tr> <td data-bbox="776 856 792 888">A.</td> <td data-bbox="792 856 808 888">Patent Application No.(s)</td> <td data-bbox="776 856 792 888">B.</td> <td data-bbox="792 856 808 888">Patent No.(s)</td> </tr> <tr> <td></td> <td data-bbox="792 909 808 940">09/5536,922</td> <td></td> <td></td> </tr> </table> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No | A. | Patent Application No.(s) | B. | Patent No.(s) |  | 09/5536,922 |  |  |
| A.                                                                                                                                                                                                                                                                                           | Patent Application No.(s)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | B. | Patent No.(s)             |    |               |  |             |  |  |
|                                                                                                                                                                                                                                                                                              | 09/5536,922                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |    |                           |    |               |  |             |  |  |

|                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                     |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 5. Name and address of party to whom correspondence concerning document should be mailed:<br><br>Name: Steven J. Sarussi<br><br>Company Name: McDonnell, Boehnen, Hulbert & Berghoff<br><br>Street Address: 300 South Wacker Drive, Suite 3200<br>City: Chicago State: IL ZIP: 60606 | 6. Total number of applications and patents involved: 1<br><br>7. Total Fee (37 CFR 3.41).....\$40.00<br><input checked="" type="checkbox"/> Enclosed<br><input type="checkbox"/> Authorized to be charged to deposit account<br>8. Deposit account number: 13-2490 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| 9. Statement and signature.<br><i>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.</i><br><br><div style="display: flex; justify-content: space-between;"> <div data-bbox="68 1591 389 1650">           Steven J. Sarussi<br/>           Printed Name of Person Signing         </div> <div data-bbox="574 1516 1029 1675"> <br/>           Signature         </div> <div data-bbox="1153 1591 1396 1623">           Date: August 11, 2000         </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div data-bbox="45 1675 532 1755">           09/07/2000 NTHAI1 00000273 09536922<br/>           01 FC:581 40.00 OP         </div> <div data-bbox="548 1675 1282 1707">           Total number of pages including cover sheet, attachments, and document: 5         </div> </div> |  |
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Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks

Box Assignments

Washington, D.C. 20231

 PATENT  
 REEL: 011041 FRAME: 0715

## ASSIGNMENT

Case No.: 99,197-A

Serial No.: 09/536,922

Inventors: Jun Yuan, George D. Maynard, Alan Hutchison, and Stanislaw Rachwal

Date of Execution

of Application:

Filing Date: March 28, 2000

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:

### **4-SUBSTITUED QUINOLINE DERIVATIVES**

and identified as:

**Case No. 99,197-A**

in the offices of McDONNELL BOEHNNEN HULBERT & BERGHOF 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.

WITNESS my hand and seal this 28<sup>TH</sup> day of July, 2000.

Jun Yuan

State of Connecticut

County of New Haven

The foregoing instrument was acknowledged before me this 28<sup>TH</sup> day of

July, 2000 by Jun Yuan

Marion L. Klesser  
NOTARY PUBLIC

**MARION L. KLESSER**  
Notary Public, State of Connecticut  
County of New Haven  
Commission Expires 10/31/04

WITNESS my hand and seal this 31<sup>ST</sup> day of July, 2000.

George D. Maynard  
George D. Maynard

State of Connecticut

County of New Haven

The foregoing instrument was acknowledged before me this 31<sup>ST</sup> day of

July, 2000 by George D. Maynard

Marion L. Klesser  
NOTARY PUBLIC

**MARION L. KLESSER**  
Notary Public, State of Connecticut  
County of New Haven  
My Commission Expires 10/31/04

WITNESS my hand and seal this 28<sup>th</sup> day of July, 2000.

Alan Hutchison  
Alan Hutchison

State of Connecticut

County of New Haven

The foregoing instrument was acknowledged before me this 28<sup>th</sup> day of

July, 2000 by Alan Hutchison

Marion L. Klesser  
NOTARY PUBLIC

**MARION L. KLESSER**  
Notary Public, State of Connecticut  
County of New Haven  
My Commission Expires 10/31/04

WITNESS my hand and seal this 31<sup>st</sup> day of July, 2000.

Stanislaw Rachwal  
Stanislaw Rachwal

State of Connecticut

County of New Haven

The foregoing instrument was acknowledged before me this 31<sup>st</sup> day of

July, 2000 by Stanislaw Rachwal

Marion L. Klesser  
NOTARY PUBLIC

**MARION L. KLESSER**  
Notary Public, State of Connecticut  
County of New Haven  
My Commission Expires 10/31/04