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To the Honorable Commission

I hereby record the attached original documents or copy thereof.

1. Name of conveying party(ies): CIBA VISION A.G.

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

☐ Yes☒ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other \_\_\_\_\_

2. Name and address of receiving party(ies)

Name: Novartis A.G.Address: Schwarzwaldallee 215, 4058 Basel,Switzerland

City: \_\_\_\_\_ Country: \_\_\_\_\_ Postal Code: \_\_\_\_\_

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

☐ Yes☒ NoExecution Date: September 14, 2000

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)

09/282,476 filed March 31, 199909/576,094 filed May 22, 2000

B. Patent No.(s)

Additional numbers attached?

☐ Yes☒ No

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

Name: Anthony Giaccio, Esq.BAKER BOTTS LLPAddress: 30 Rockefeller Plaza, 44th FloorCity: New York State: NY Zip: 101126. Total number of applications and patents involved: 2

7. Total fee (37 CFR 3.41):

\$80.00☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number:

02-4377

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

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9. Statement and signature

*To the best of my knowledge and belief, the foregoing instrumentation is true and correct and any attached copy is a true copy of the original document.*Anthony Giaccio

Name of Person Signing

USPTO Reg. No. 39,684

Signature

December 6, 2000

Date

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

15

12/29/2000 DWGUYEN 00000248 024377 09282476

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Patent and Trademark Office

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10. Name of conveying party(ies):

11. Application number(s) or registration number(s):

A. Patent Application No.(s)

B. Patent Registration No.(s)

Page 2 of 2

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

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## A S S I G N M E N T

WHEREAS, CIBA VISION A.G., a Swiss corporation with offices at Grenzstrasse 10, Buelach, Switzerland (herein referred to as "C.V.") is presently the owner of all right, title and interest in and to the inventions herein identified, and is desirous of assigning and transferring over the entire right, title and interest in and to the inventions, Letters Patent and applications for Letters Patent described as follows:

"CONTROLLED RELEASE OF PHARMACEUTICALS IN THE ANTERIOR CHAMBER OF THE EYE" as set forth and described in Letters Patent of the United States, Patent No. 5,972,326, issued on October 26, 1999; and "CONTROLLED RELEASE OF MIOTIC AND MYDRIATIC DRUGS IN THE ANTERIOR CHAMBER" as set forth and described in Letters Patent of the United States, Patent Nos. 5,965,152, 5,766,580, 5,759,532 and 5,612,027, issued on October 12, 1999, June 16, 1998, June 2, 1998, and March 18, 1997, respectively; and "MEDICAMENT COATED REFRACTIVE ANTERIOR CHAMBER OCULAR IMPLANT" as set forth and described in Letters Patent of the United States, Patent Nos. 5,944,753 and 5,652,014 issued on August 31, 1999 and July 29, 1997, respectively, and as set forth and described in application for Letters Patent of the United States, Serial No. 09/063,624, filed April 20, 1998; and "POSITIVE POWER ANTERIOR CHAMBER OCULAR IMPLANT" as set forth and described in applications for Letters Patent of the United States, Serial Nos. 09/282,476 and 09/576,094, filed on March 31, 1999 and May 22, 2000, respectively; and

WHEREAS, NOVARTIS A.G., a Swiss corporation with offices at Schwarzwaldallee 215, 4058 Basel, Switzerland (herein referred to as "NOVARTIS") is

desirous of acquiring the entire right, title and interest in and to the said inventions, and in and to said Letters Patent and any reissues thereof, and in and to the said applications for Letters Patent, and in and to any Letters Patent which may be obtained therefor and any reissues thereof; and in and to any and all corresponding foreign Letters Patent listed in the attached Schedule A, and in and to any and all corresponding foreign applications for Letters Patent listed in the attached Schedule A, and in and to any and all corresponding foreign Letters Patent which may be obtained therefor; and

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, BE IT KNOWN, that WE, the said C.V., for and in consideration of the sum of One Dollar (\$1.00), lawful money of the United States, to us in hand paid by said NOVARTIS, and other valuable consideration unto us moving from said NOVARTIS at or before the ensealing and delivery of these presents, the receipt of which is hereby acknowledged, have sold, assigned, transferred and conveyed and by these presents do sell, assign, transfer and convey, unto said NOVARTIS, its successors and assigns, the entire right, title and interest in and to the said inventions entitled "CONTROLLED RELEASE OF PHARMACEUTICALS IN THE ANTERIOR CHAMBER OF THE EYE" as set forth and described in Letters Patent of the United States, Patent No. 5,972,326, issued on October 26, 1999, and "CONTROLLED RELEASE OF MIOTIC AND MYDRIATIC DRUGS IN THE ANTERIOR CHAMBER" as set forth and described in Letters Patent of the United States, Patent Nos. 5,965,152, 5,766,580, 5,759,532 and 5,612,027, issued on October 12, 1999, June 16, 1998, June 2, 1998, and March 18, 1997, respectively, and "MEDICAMENT COATED REFRACTIVE ANTERIOR CHAMBER OCULAR

IMPLANT" as set forth and described in Letters Patent of the United States, Patent Nos. 5,944,753 and 5,652,014 issued on August 31, 1999 and July 29, 1997, respectively, and as set forth and described in application for Letters Patent of the United States, Serial No. 09/063,624, filed April 20, 1998, and "POSITIVE POWER ANTERIOR CHAMBER OCULAR IMPLANT" as set forth and described in applications for Letters Patent of the United States, Serial Nos. 09/282,476 and 09/576,094, filed on March 31, 1999 and May 22, 2000, respectively, and in and to the said Letters Patent and any reissues thereof, and in and to the said applications for Letters Patent, and in and to any continuations, continuations-in-part, divisions, reexaminations, and extensions thereof, and in and to any Letters Patent which may be issued on any of said applications and any reissues thereof, and in and to any and all corresponding Letters Patent in foreign countries listed in the attached Schedule A, corresponding applications for Letters Patent in foreign countries listed in the attached Schedule A, and corresponding Letters Patents issued therefor in said foreign countries for said inventions including the Letters Patent in foreign countries and applications for Letters Patent in foreign countries listed in the attached Schedule A, TO HAVE AND TO HOLD THE SAME to the full end of the term or terms for which any and all said Letters Patent may be granted;

AND WE, the said C.V., do hereby authorize and request the Commissioner of Patents and Trademarks to issue the any said Letters Patent of the United States to said NOVARTIS, as the assignee of the entire right, title and interest in and to the same, for the sole use and benefit of said NOVARTIS, its successors and assigns;

AND WE, the said C.V., for the considerations aforesaid, do hereby covenant and agree to and with said NOVARTIS, its successors and assigns, that we, our successors and assigns, shall and will do all lawful acts and things and make, execute and deliver without further compensation, any and all other instruments in writing, further applications, papers, affidavits, powers of attorney, assignments, and other documents which, in the opinion of counsel for said NOVARTIS, its successors and assigns, may be required or necessary more effectively to secure to and vest in said NOVARTIS, its successors and assigns, the entire right, title and interest in and to said inventions, applications, Letters Patent, rights, titles, benefits, privileges, and advantages hereby sold, assigned, transferred and conveyed, and that we will sign any applications for reissue which may be desired by the owner of the patent or patents which may be issued for the said inventions.

IN WITNESS WHEREOF, the said C.V., hereto causes its name to be affixed by its duly authorized representatives, the undersigned, who are each empowered to act on behalf of C.V. on the date written.


The undersigned, whose titles are supplied below, declare that they are each empowered to act on behalf of said C.V. and further declare that all statements made herein of our own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that

such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

IN WITNESS WHEREOF, the said undersigned, Dr. Georg von Sprecher,

Patent Specialist, has hereunto set my hand and seal on behalf of said CIBA VISION

A.G. in Buelach this 14th day of September, 2000.

By:   
Dr. Georg von Sprecher  
Patent Specialist  
CIBA VISION, A.G.

First Witness

Name: Waltraud Vögele Signature: W. Vögele Date: Sept. 14, 2000  
(Print) (Sign)

Second Witness

Name: Werner Dietiker Signature: W. Dietiker Date: Sept. 14, 2000  
(Print) (Sign)

IN WITNESS WHEREOF, the said undersigned, Dr. Anneliese

Hassenbürger, Patent Specialist, has hereunto set my hand and seal on behalf of said

CIBA VISION A.G. in Buelach this 14th day of September, 2000.

By:   
Dr. Anneliese Hassenbürger  
Patent Specialist  
CIBA VISION A.G.

First Witness

Name: Christoph Thomme Signature: C. Thomme Date: Sept. 14, 2000  
(Print) (Sign)

Second Witness

Name: Hans-Rudolf Haus Signature: H. Haus Date: Sept. 14, 2000  
(Print) (Sign)

## SCHEDULE A

### Controlled Release Patent Rights

#### *Controlled Release of Pharmaceuticals in the Anterior Chamber of the Eye*

##### Issued U.S. Patent Numbers:

5,972,326

##### Pending Foreign Patent Application Numbers:

Australia 64716/98

Brazil PI9808282-5

Canada 2282427

China 98804137.5

(possible to extend to Hong Kong)

Czech Republic PV3264-99

Eurasia 199900811 (all designated states)

EPC 98910483.1 (all designated states)

Hungary

Indonesia W991049

Israel 131955

Japan 10540762

Korea, South 7008448/99

Mexico 998634

Norway 19994485

New Zealand 337654

Poland P-335801

Singapore 9904561-9

Turkey 1999/02253



Issued U.S. Patent Numbers:

5,965,152

5,766,580

5,759,532

5,612,027

Issued Foreign Patent Numbers:

Australia 707013

EPC 96912887.5 (granted) (provisional protection also secured)  
(designating all states)

Eurasia EA970286 (granted) (designating all states)

New Zealand 306875

Pending Foreign Patent Application Numbers:

Brazil PI9608441.3

Canada 2216417

China 96193352.6 (published as CN1181703A)

Czech Republic PV326497

Hungary P9802665

Japan 08-531917

Korea, South 97-707360

Mexico 9708043

New Zealand 335865 (divisional)

Norway 974808

Poland P-322820

Singapore 9706306-9

Turkey 97/01192

Issued U.S. Patent Numbers:

5,944,753

5,652,014

Pending U.S. Patent Application Numbers:

09/063,624 (allowed)

Issued Foreign Patent Numbers:

Argentina 252681

Australia 664858

EPC 601055 (proceeding to grant in all designated states)

Mexico 186031

Pending Foreign Patent Application Numbers:

Belarus 1541

Brazil P19206365-9 (published)

Canada 2115651

Japan 5 (1993) 504447 (published as 6 (1994) (509731))

Singapore 9603913-6

**Refractive Implant Patent Rights**

*Positive Power Anterior Chamber Ocular Implant*

Pending U.S. Patent Application Numbers:

09/282,476 (allowed)

09/576,094 (pending)

Pending Foreign Application Numbers:

PCT/US00/07922 (pending)