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02-13-01

Rec'd PCT/PTO

13 FEB 2001

JCO6 Rec'd PCT/PTO 13 FEB 2001

04-04-2001

09/743085

Practitioner's Docket No. U013201-9



CHAPTER II

IN THE UNITED STATES ELECTED

101668371

PCT/ES99/00222

9 JULY 1999

10 JULY 1998

INTERNATIONAL APPLICATION NO.

INTERNATIONAL FILING DATE

PRIORITY DATE CLAIMED

UTILIZATION OF DERIVATIVES OF TETRAHYDROPYRIDINES (OR 4-HYDROXYPIPERIDINES) - BUTYLAZOLS IN THE PREPARATION OF A MEDICAMENT FOR THE TREATMENT OF PAIN

TITLE OF INVENTION

RAMÓN MERCE-VIDAL and JORDI FRIGOLA-CONSTANSA

Box PCT

Assistant Commissioner for Patents

Washington, D.C. 20231

ATTENTION: EO/US

**COVER SHEET FOR ASSIGNMENT
IN THE UNITED STATES ELECTED OFFICE (EO/US)
FOR INTERNATIONAL APPLICATION ENTERING NATIONAL STAGE
IN U.S. DESIGNATED OFFICE (DO/US) UNDER 35 U.S.C. 371**

IDENTIFICATION OF APPLICATION

(37 CFR 3.21 and 37 CFR 3.31(a)(4))

1. The patent application to which the attached assignment (document) refers, is identified as follows:

- a. Date of execution: January 4, 2001
- b. Name of each inventor:
 - 1: RAMÓN MERCE-VIDAL
 - 2: JORDI FRIGOLA-CONSTANSA
 - 3:

09743085

CERTIFICATION UNDER 37 C.F.R. 1.10*

(Express Mail label number is **mandatory**.)

(Express Mail certification is optional.)

I hereby certify that this Cover Sheet for Assignment (Document) Accompanying international Application Entering National Phase", along with any document referred to, is being deposited with the United States Postal Service on this date February 13, 2001, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL728211180US addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

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40.00 DP

Jennifer Rashkin

(type or print name of person mailing paper)

Signature of person mailing paper

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

WARNING: Each paper or fee filed by "Express Mail" **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Cover Sheet for Assignment In the United States Elected Office (EO/US) for international Application Entering National Stage under 35 USC 371--page 1 of 5) **13-21**

**PATENT
REEL: 011634 FRAME: 0350**

- c. Title of invention: UTILIZATION OF DERIVATIVES OF
TETRAHYDROPYRIDINES (OR 4-HYDROXYPIPERIDINES) -
BUTYLAZOLS IN THE PREPARATION OF A MEDICAMENT FOR THE
TREATMENT OF PAIN

NOTE: See 37 CFR 3.21.

NAME OF PARTY(IES) CONVEYING INTEREST
(37 CFR 3.31(a)(1))

2. The party(ies) conveying this interest is (are):

Name 1: RAMÓN MERCE-VIDAL

Name 2: JORDI FRIGOLA-CONSTANSA

Name 3:

NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST
(37 CFR 3.31(a)(2))

3. The rights are being conveyed to:

Name: Laboratorios Del Dr. Esteve, S.A .

Address: Avda. Mare de Deu de Montserrat, 221
08041 Barcelona Spain

Telephone No.: ()

DESCRIPTION OF INTEREST CONVEYED OR TRANSACTION RECORDED
(37 CFR 3.31(a)(3))

4. The accompanying document intends to accomplish:

☒ an assignment.

☐ a security agreement.

☐ a license.

☐ a merger.

☐ a change of name.

☐ a change of address.

☐ other.

**NAME AND ADDRESS OF PARTY TO WHOM CORRESPONDENCE
SHOULD BE MAILED (37 CFR 3.31(a)(5))**

5. Please address correspondence to:

Name: Janet I. Cord
Address: c/o Ladas & Parry
26 West 61st Street
New York, New York 10023
Telephone No.: (212) 708-1935

DATE ASSIGNMENT (DOCUMENT) EXECUTED (37 CFR 3.31(a)(7))

6. A. ☒ The attached assignment (document) was executed on January 4, 2001
Date

OR *If there is more than one conveying party who executed on different dates, indicate the date of execution of the assignment document for each conveying party.*

B. ☐ The attached assignment was executed by _____
Name
on _____ .
Date

☐ The attached assignment was executed by _____
Name
on _____ .
Date

☐ The attached assignment was executed by _____
Name
on _____ .
Date

☐ The attached assignment was executed by _____
Name
on _____ .
Date

☐ The attached assignment was executed by _____
Name
on _____ .
Date

☐ The attached assignment was executed by _____
Name
on _____ .
Date

LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED

NOTE: The Office will accept and record non-English language documents only if accompanied by a verified English translation signed by the individual making the translation.. 37 CFR 3.26.

The attached document:

☒ is in the English language.

☐ is not in the English language. A verified English translation signed by the individual making the translation is attached.

ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

NOTE: "Either the original document or a true copy of the original document may be submitted for recording. Only one side of each page shall be used. The paper used should be flexible, strong, white, non-shiny, durable, and preferably no larger than 21.6 x 33.1 cm. (8 1/2 x 14 inches) with a 2.5 cm. (one inch) margin on all sides." 37 CFR 3.24.

7. Submitted herewith is:

☒ the original document.

☐ a true copy of the original document.

NOTE: "If the original [assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 C.F.R § 3.24] by providing a tie copy of the original document using only one side of each page on the correct size paper." Notice of June 24, 1992, 1140 O.G. 63-76 at 67.

NUMBER OF APPLICATIONS IDENTIFIED IN THIS COVER SHEET AND THE FEE (37 CFR 3.31(a)(6))

8. A. This cover sheet identifies only one application:

B. The fee for recordal (37 CFR 1.21(h)) is \$40.00.

☒ Attached is a check for \$40.00.

☐ Please charge Account _____ \$40.00.

☐ A duplicate of this cover sheet is attached.

STATEMENT (37 CFR 3.31(a)(9)) AND SIGNATURE (37 CFR 3.31(a)(10))

9. 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.

NOTE: "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate or officer where a corporation's name appears on the document" Notice of June 24, 1992, 1140 O.G. 63-76, at 65.

Date: February 13, 2001

Name of party submitting document

Signature of party submitting document

(complete the following, if the party submitting the document is applicant's attorney)



SIGNATURE OF PRACTITIONER

Reg. No.33,778

Janet I. Cord

(type or print name of practitioner)

Tel. No.: (212) 708-1935

P.O. Address

Customer No.

c/o Ladas & Parry
26 West 61st Street
New York, N.Y. 10023

TOTAL NUMBER OF PAGES BEING SUBMITTED

10. The total number of pages being submitted, including cover sheet attachment(s), and documents are:

9
Total number of pages submitted

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

- ☒ the entire right, title and interest
☐ an undivided _____ percent (_____ %) interest
for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

- ☐ and in all foreign countries, including all rights to claim priority,
in and to any and all improvements which are disclosed in the invention entitled:

Name of inventor(s)

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in (37 C.F.R. § 3.21)

- (a) ☐ U.S. patent application executed on even date herewith
(b) ☐ U.S. patent application executed on _____
(c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention.
 ☐ Express mail label no.: _____
 Mailed: _____
 ☐ To comply with 37 C.F.R. 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.
(d) ☐ U.S. application no. _____
 filed on _____
(e) ☒ International application no. PCT/ ES99 / 00222
(f) ☐ U.S. patent no. _____ issued _____
 ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

- (g) ☐ and any legal equivalent thereof in a foreign country, including the right to claim priority

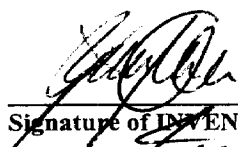

and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal

WARNING: The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

MERCE-VIDAL, Ramón		this 4 January 2001
(type name of Inventor)	Signature of INVENTOR	date of signing
FRIGOLA-CONSTANSA, Jordi		this 4 January 2001
(type name of Inventor)	Signature of INVENTOR	date of signing
_____	_____	this _____
(type name of Inventor)	Signature of INVENTOR	date of signing
_____	_____	this _____
(type name of Inventor)	Signature of INVENTOR	date of signing
_____	_____	this _____
(type name of Inventor)	Signature of INVENTOR	date of signing
_____	_____	this _____
(type name of Inventor)	Signature of INVENTOR	date of signing
_____	_____	this _____
(type name of Inventor)	Signature of INVENTOR	date of signing
_____	_____	this _____
(type name of Inventor)	Signature of INVENTOR	date of signing

[] Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

(Assignment of Invention—Multiple Inventors—page 3 of 3) 16-3.2