

06-01-2001



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SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Case No. 4-20555/A/PCT

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

1. Name of conveying party(ies):

1. Thomas SCHUPP, 2. Nathalie ENGEL,  
3. Jurg BIETENHADER, 4. Christiane TOUPET,  
5. Andreas POSPIECH

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☐ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☒ Other: Please correct the third inventor's last name which was listed incorrectly on the Recordation Sheet and the Notice of Recordation. The Assignment is recorded on Reel/Frame 011507/0715.

Execution Dates: 1. 2. & 4. 3/3/98, 3. 3/9/98 & 5. 3/4/98

2. Name and address of receiving party(ies)

Name: Novartis AG

Internal Address: \_\_\_\_\_

Street Address: Schwarzwaldallee 215

City: Basel State: Switzerland ZIP: 4058

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: \_\_\_\_\_

A. Patent Application No.(s)

09/029,603

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Thomas Hoxie

Internal Address: Novartis Corporation

Patent and Trademark Dept.

Street Address: 564 Morris Avenue

City: Summit State: NJ ZIP: 07901-1027

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$ 40

☐ Enclosed

☒ Authorized to be charged to deposit account and any other additional fees required.

8. Deposit account number:

19-0134 (in the name of Novartis Corporation)

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*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.*

Hesna J. Pfeiffer

Name of Person Signing  
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PATENT  
REEL: 011843 FRAME: 0331

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COVER SHEET

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1.25.01

To the Honorable Comm.

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Jürg BEITENHADER, Christiane TOUPET,  
Andreas POSPIECH

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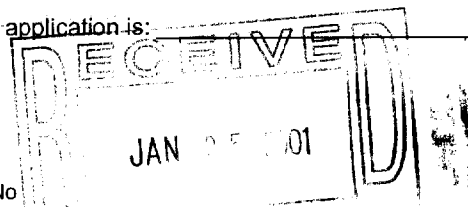
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ASSIGNMENT

I / We **Thomas SCHUPP**, Fröschmattweg 5, 4313 Möhlin, Switzerland  
**Nathalie ENGEL**, Rue de la Doller 29, 68260 Kingersheim, France  
**Jürg BIETENHADER**, Röserenstrasse 17, 4410 Liestal, Switzerland  
**Christiane TOUPET**, Rue de l'Ours 12/5, 68200 Mulhouse, France  
**Andreas POSPIECH**, Scheffelstrasse 23, 79102 Freiburg, Germany

for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, do hereby sell and assign to **Novartis AG, a Company organized under the laws of the Swiss Confederation, of Schwarzwaldallee 215, 4058 Basel, Switzerland**, its successors, assigns and legal representatives all my/our right, title and interest, in and for the United States of America, in and to the invention entitled:

**STAUROSPORIN BIOSYNTHESIS GENE CLUSTERS**

invented by me/us and described in the international application

No. **PCT/EP96/03643** filed **19.08.1996**

and all United States Letters Patent which may be granted therefor, and all divisions, reissues, continuations and extensions thereof, the said interest being the entire ownership of the said Letters Patent when granted, to be held and enjoyed by the said **Novartis AG**, its successors, assigns or other legal representatives, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held and enjoyed by me/us if this assignment and sale had not been made;

And I/we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to the said **Novartis AG**.

Signed on

Thomas Schupp  
**Thomas SCHUPP**

March 3, 1998

Nathalie Engel  
**Nathalie ENGEL**

March 3, 1998

Jürg Bietenhader  
**Jürg BIETENHADER,**

March 9, 1998

Christiane Toupet  
**Christiane TOUPET**

March 3, 1998

Andreas Pospiech  
**Andreas POSPIECH**

March 4, 1998