

06-13-2002

SHEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Case 4-30748A/C1

102122137

To the Honorable Commission,

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

- a) Karl-Heinz Altmann
b) Guido Bold
c) Giorgio Caravatti
d) Andreas Flörsheimer

6.11.02

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

3. Nature of conveyance:

- ☐ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☒ Other **Please correct Notice of Recordation of Assignment. On page 1, the correct Serial No. should be 09/871,860. The Assignment is recorded under Reel/Frame 012696/0884.**

Execution Date: a) 5/11/01; b) c) & d) 5/14/01

2. Name and address of receiving party(ies)

Name: Novartis AG

Internal Address: _____

Street Address: Lichtstrasse 35

City: Basel State: Switzerland ZIP: 4056

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)

09/871,860

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 (previously paid 3/4/02)

☐ 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)

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

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.

George R. Dohmann

Name of Person Signing
Reg. No. 33,593

Signature

May 29, 2002
Date☒ Certificate of mailing on reverse side

Total number of pages including cover sheet, attachments, and document: 2

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231PATENT
REEL: 012971 FRAME: 0771

Case 4-30748A/C1

To the Honorable Commissioner

record the attached original documents or copy thereof.

1. Name of conveying party(ies):

- a) Karl-Heinz Altmann
- b) Guido Bold
- c) Giorgio Caravatti
- d) Andreas Flörsheimer

3.4.02

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

3. Nature of conveyance:

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

Execution Date: a) 5/11/01; b) c) & d) 5/14/01

2. Name and address of receiving party(ies)

Name: Novartis AG

Internal Address: _____

Street Address: Lichtstrasse 35

City: Basel State: Switzerland ZIP: 4056

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)

09/871,860

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)

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

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.

George R. Dohmann

Name of Person Signing

Reg. No. 33,593

George R. Dohmann
Signature

March 4, 2002
Date

☒ Filing by "EXPRESS MAIL" Under 37 CFR 1.10 (BACK OF THIS SHEET)

Total number of pages including cover sheet, attachments, and document: 2

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

03/25/2002 TDIAZI 00000019 190134 09871860

01 FC:581

40.00 CH

PATENT
REEL: 012971 FRAME: 0772

ASSIGNMENT

I / We **Karl-Heinz Altmann, Tannenweg 5, 4123 Reinach, Switzerland**
Guido Bold, Bleumatthöhe 16, 5073 Gipf-Oberfrick, Switzerland
Giorgio Caravatti, Kirschbaumweg 22A, 4103 Bottmingen, Switzerland
Andreas Flörsheimer, Eschenmattstrasse 3, 4313 Möhlin, Switzerland

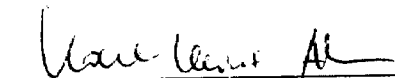
for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, do hereby sell and assign to **Novartis AG, a Company organized under the laws of the Swiss Confederation, of Schwarzwaldallee 215, 4058 Basel, Switzerland**, its successors, assigns and legal representatives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

EPOTHILONE DERIVATIVES AND THEIR USE AS ANTITUMOR AGENTS

invented by me/us and described in the application for United States Letters Patent therefor, executed on even date herewith, 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



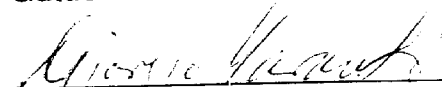
Karl-Heinz Altmann

11/05/01



Guido Bold

14/05/01



Giorgio Caravatti

14/05/01



Andreas Flörsheimer

14/05/01