

07-26-2002



Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

## RECORDATION FORM

PATENTS

102170401

COMMERCE

Mark Office

Washington, D.C. 20231

Box ASSIGNMENT

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

## 1. Name of conveying party(ies):

Neil R. Anderson,  
Kerry J. Hartauer,  
Martha A. Kral, and  
Gregory A. Stephenson

07/22/02

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

☐ Yes☒ No

## 3. Nature of Conveyance:

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

January 3, 2002 & August 11,  
2000, January 16, 2002 & August  
11, 2000, January 16, 2002 &  
August 11, 2000, January 16,  
2002 and August 11, 2000.

Execution Dates:

## 2. Name and address of receiving party(ies)

Name: Lilly ICOS LLC

a Delaware corporation

Street Address:

1209 Orange Street

City: Wilmington

State: DE

Zip: 19801

Additional name(s) &amp; address(es) attached:

☐ Yes☒ No

## 4. Application number(s) or patent number(s):

A. Patent Application No.(s): 10/031,463 filed January 17, 2002

B. Patent No.(s):

Additional numbers attached?

☐ Yes☒ No

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

Name: James J. Napoli, Ph.D.  
MARSHALL, GERSTEIN & BORUN

Client/Matter No.: 29342/36539A

Street Address:

6300 Sears Tower  
233 S. Wacker Drive

City:

Chicago

State:

IL

Zip:

60606-6357

## 6. Total number of applications and patents involved:

1

## 7. Total fee (37 CFR 3.41)

\$ 40.00

☒ Enclosed☐ Authorized to be charged to deposit account
☐ Authorized to be charged to credit card  
(Form 2038 enclosed)

## 8. Deposit account number:

13-2855

(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.

James J. Napoli, Ph.D. - 32,361

Name of Person Signing

Signature

18 July 2002

Date

Total number of pages including cover sheet, attachments, and documents: 6

07/25/2002 TDIAZ1 00000208 10031463

01 FC:581

40.00 OP

PATENT  
REEL: 013114 FRAME: 0703

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

Serial No: 10/031,463  
Filed: January 17, 2002  
Title: β-CARBOLINE DRUG PRODUCTS

For ten dollars(\$10.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the undersigned hereby assign to Lilly ICOS LLC, a Delaware corporation, 1209 Orange Street, Wilmington, Delaware, (hereinafter "assignee"), 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, executed by the undersigned on January 3rd & January 16<sup>th</sup> 2002, 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 thereof.

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 execution date and/or filing date and serial number of said application when officially known.

The undersigned warrant themselves to be the owners of the interest herein assigned and to have the right to make this assignment and further warrant that there are no outstanding prior assignments, licenses, or other rights in the interest herein assigned.

For said consideration 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, continuation-in-part and substitute applications for said invention or improvements, and any necessary oath or affidavit 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 said consideration the undersigned further agree upon the request of said assignee, its successors or assigns, in the event of any application or Letters Patent assigned herein becoming involved in Interference, to cooperate to the best of the ability of the undersigned with said assignee, its successors or assigns, in the matters of preparing and executing the preliminary statement and giving and producing evidence in support thereof, the undersigned hereby agreeing to perform, upon request, any and all affirmative acts to obtain said Letters Patent, both United States and foreign, and vest all rights therein hereby conveyed in said assignee, its successors and assigns, whereby said Letters Patent will be held and enjoyed by said assignee, its successors and assigns, 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 the undersigned if this assignment and sale had not been made.

MARSHALL, GERSTEIN & BORUN, 6300 Sears Tower, 233 South Wacker Drive, Chicago, Illinois 60606-6357

WITNESS our hands this 16<sup>th</sup> day of January, 2002.

State of Indiana

County of Marion

} ss

Neil R. Anderson

Kerry J. Hartauer  
Kerry J. Hartauer

Martha A. Kral  
Martha A. Kral

Gregory A. Stephenson  
Gregory A. Stephenson

On this 16<sup>th</sup> day of January, 2002, before me, a Notary Public in and for the County and State aforesaid, appeared Neil R. Anderson, Kerry J. Hartauer, Martha A. Kral, and Gregory A. Stephenson, to me personally known to be the same persons whose names are subscribed to the foregoing instrument, and acknowledged that they executed said instrument as their free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the same day and year last above given.

My Commission Expires: \_\_\_\_\_

Ethel Lee Gaines  
Notary Public

**ETHEL LEE GAINES**  
**NOTARY PUBLIC STATE OF INDIANA**  
**MARION COUNTY**  
**MY COMMISSION EXP. JULY 27, 2006**

WITNESS our hands this 3<sup>rd</sup> day of January, 2002State of IndianaCounty of MARION

} ss

Neil R. Anderson  
Neil R. AndersonKerry J. Hartauer  
Kerry J. HartauerMartha A. Kral  
Martha A. KralGregory A. Stephenson  
Gregory A. Stephenson

On this 3<sup>rd</sup> day of January, 2002, before me, a Notary Public in and for the County and State aforesaid, appeared Neil R. Anderson, Kerry J. Hartauer, Martha A. Kral, and Gregory A. Stephenson, to me personally known to be the same persons whose names are subscribed to the foregoing instrument, and acknowledged that they executed said instrument as their free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the same day and year last above given.

My Commission Expires: \_\_\_\_\_

Ethel Lee Gaines  
Notary Public

ETHEL LEE GAINES  
NOTARY PUBLIC STATE OF INDIANA  
MARION COUNTY  
MY COMMISSION EXP. JULY 27, 2006

## ASSIGNMENT

Serial No: 10/031,463  
Filed: January 17, 2002  
Title:  $\beta$ -CARBOLINE DRUG PRODUCTS

For ten dollars (\$10.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the undersigned hereby assign to Lilly ICOS LLC, a Delaware limited liability corporation, 1209 Orange Street, Wilmington, Delaware, (hereinafter "assignee"), 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, executed by the undersigned on \_\_\_\_\_, 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 thereof.

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 execution date and/or filing date and serial number of said application when officially known.

The undersigned warrant themselves to be the owners of the interest herein assigned and to have the right to make this assignment and further warrant that there are no outstanding prior assignments, licenses, or other rights in the interest herein assigned.

For said consideration 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, continuation-in-part and substitute applications for said invention or improvements, and any necessary oath or affidavit 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 said consideration the undersigned further agree upon the request of said assignee, its successors or assigns, in the event of any application or Letters Patent assigned herein becoming involved in Interference, to cooperate to the best of the ability of the undersigned with said assignee, its successors or assigns, in the matters of preparing and executing the preliminary statement and giving and producing evidence in support thereof, the undersigned hereby agreeing to perform, upon request, any and all affirmative acts to obtain said Letters Patent, both United States and foreign, and vest all rights therein hereby conveyed in said assignee, its successors and assigns, whereby said Letters Patent will be held and enjoyed by said assignee, its successors and assigns, 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 the undersigned if this assignment and sale had not been made.

WITNESS our hands this 11<sup>th</sup> day of August, 2000.

State of Indiana  
County of Marion } ss.

Neil R. Anderson  
Neil R. Anderson  
Kerry J. Hartauer  
Kerry J. Hartauer  
Martha A. Kral  
Martha A. Kral  
Gregory A. Stephenson  
Gregory A. Stephenson

On this 11<sup>th</sup> day of August, 2000, before me, a Notary Public in and for the County and State aforesaid, appeared Neil R. Anderson, Kerry J. Hartauer, Martha A. Kral, and Gregory A. Stephenson, to me personally known to be the same persons whose names are subscribed to the foregoing instrument, and acknowledged that they executed said instrument as their free and voluntary act and for the uses and purposes therein expressed.

WITNESS my hand and seal the same day and year last above given.

My Commission Expires: September 15, 2001  
Notary Public  
Notary Public