

Form PTO-1595
(Rev. 03/01)RECORDATION FORM COVER SHEET
PATENTS ONLYU.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

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

Tab settings

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

1. Name of conveying party(ies):

Dongxu SUN
Edward L. PERKINS
Stuart TUGENDREICH
Ving J. LEE

2. Name and address of receiving party(ies)

ICONIX PHARMACEUTICALS INC.,
325 E. Middlefield Road
Mountain View, CA 94043

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

3. Nature of conveyance:

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

Additional name(s) & address(es) attached? ☐ Yes ☐ NoExecution Date: 02/27/2003; 03/10/2003; 01/29/2003; and
01/30/2003 consecutively

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)
10/300,669

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Roberta L. Robins
Cooley Godward LLP
Five Palo Alto Square
3000 El Camino Real
Palo Alto, CA 94306-2155

6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41) \$40.00

☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number 03-3117

(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.*Roberta L. Robins, Reg. No. 33,208
Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and documents: 13

I hereby certify that this correspondence is being transmitted by facsimile addressed to Assignment Branch, Facsimile Number 703-306-5995, at United States Patent and Trademark Office, Washington, D.C. 20231 at 12:45 PM on March 14, 2003.

By: Hanna Hacham

Hanna Hacham

PATENT

REEL: 013482 FRAME: 0261

700026106

PATENT

Rev. 6/14/2002

Attorney Docket No: 5050-0070

ASSIGNMENT
(Joint)

Dongxu SUN, residing at Mountain View, CA, Edward L. PERKINS, residing at Burnaby, Canada, Stuart TUGENDREICH, residing at Mountain View, CA and Ving J. LEE, residing at Mountain View, CA (each referred to as "Assignor") have made an invention(s) (the "Invention(s)") set forth in an application for patent of the United States, entitled **MODULATORS FOR RHO C ACTIVITY**, and which is a:

- (1) ☐ provisional application
 (a) ☐ to be filed herewith; or
 (b) ☐ bearing Application No. , and filed on ; or
- (2) ☒ non-provisional application
 (a) ☐ to be filed herewith; or
 (b) ☒ bearing Application No. 10/300,669, and filed on 19 November 2002.

WHEREAS, ICONIX PHARMACEUTICALS INC., a corporation duly organized under and pursuant to the laws of Delaware, and having its principal place of business at 325 E. Middlefield Road, Mountain View, CA 94043 (the "Assignee"), is desirous of acquiring the entire right, title, and interest in: the Invention(s); the application for patent identified in paragraph (1) or (2); the right to file applications for patent of the United States or other countries on the Invention(s); any application(s) for patent of the United States or other countries claiming priority to these application(s); any provisional or other right to recover damages, including royalties, for prior infringements of these applications; and any patent(s) of the United States or other countries that may be granted therefor or thereon.

NOW, THEREFORE, for good and sufficient consideration, the receipt of which is hereby acknowledged, and to the extent that the Assignor has not done so already via a prior agreement with the Assignee, or if the Assignor has already done so via a prior agreement with the Assignee then in confirmation of any obligation to do so in said prior agreement, the Assignor has sold, assigned, transferred, and set over, and by these presents does sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns, the Assignor's entire right, title, and interest in:

- (a) the Invention(s);
- (b) the application for patent identified in paragraph (1) or (2);
- (c) the right to file applications for patent of the United States or other countries on the Invention(s), including all rights under the Paris Convention for the Protection of Industrial Property and under the Patent Cooperation Treaty;
- (d) any application(s) for patent of the United States or other countries claiming the Invention(s);
- (e) any application(s) for patent of the United States or other countries claiming priority to the application for patent identified in paragraph (1) or (2) or any application(s) for patent claiming the Invention(s), including any division(s), continuation(s), and continuation(s)-in-part; and

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**Attorney Docket No. 5050-0070
Page 2**

(f) any provisional or other right to recover damages, including royalties, for prior infringements of any application for patent identified in the preceding paragraphs (b)-(e); and

(g) any patent(s) of the United States or other countries that may be granted for or on any application for patent identified in the preceding paragraphs (b) - (e), including any reissue(s) and extension(s) of said patent(s).

The above-granted rights, titles, and interests are to be held and enjoyed by the Assignee, for its own use and behalf and the use and behalf of its successors, legal representatives, and assigns, as fully and entirely as the same would have been held and enjoyed by the Assignor had this sale and assignment not been made.

The Assignor hereby represents to the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, or if applicable, at such time said prior agreement was executed, the Assignor is a lawful owner of an undivided interest in the entire right, title, and interest in and to the Invention(s), that the Invention(s) are unencumbered, except, if applicable, by obligation to assign in accordance with said prior agreement, and that the Assignor has good and full right and lawful authority to sell and convey the same in the manner set forth herein.

The Assignor hereby covenants and agrees to and with the Assignee, its successors, legal representatives, and assigns, that the Assignor will sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done in connection with any and all proceedings for the procurement, maintenance, enforcement and defense of the Invention(s), said applications, and said patents, including interference proceedings, without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns.

The Assignor hereby authorizes and requests the attorneys of COOLEY GODWARD L.L.P. to insert in the spaces provided above the filing date, the application number, and the attorney docket number of the application identified in paragraph (1) or (2) when known.

Rev. 06/14/2002

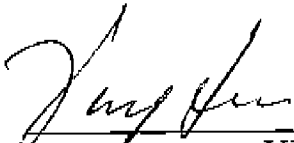
Attorney Docket No. 5050-0070
Page 4

Date: 1/29/03

By: 
Stuart TUGENDREICH

State of _____	ss.
County of _____	
On _____, before me, _____, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.	
WITNESS my hand and official seal.	
Signature of Notary Public _____	Place Notary Seal Above

Date: Jan 30, 2003

By: 
Ving J. LEE

State of _____	ss.
County of _____	
On _____, before me, _____, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.	
WITNESS my hand and official seal.	
Signature of Notary Public _____	Place Notary Seal Above

Rev. 6/14/2002

Attorney Docket No: 5050-0070

PATENT

ASSIGNMENT (Joint)

*DL/uth, MW
ELP 3/10/03*

Dongxu SUN, residing at Mountain View, CA, Edward L. PERKINS, residing at ~~Burnaby, Canada~~, Stuart TUGENDREICH, residing at Mountain View, CA and Ving J. LEE, residing at Mountain View, CA (each referred to as "Assignor") have made an invention(s) (the "Invention(s)") set forth in an application for patent of the United States, entitled MODULATORS FOR RHO C ACTIVITY, and which is a:

- (1) ☐ provisional application
 - (a) ☐ to be filed herewith; or
 - (b) ☐ bearing Application No. , and filed on ; or
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- (a) the Invention(s);
- (b) the application for patent identified in paragraph (1) or (2);
- (c) the right to file applications for patent of the United States or other countries on the Invention(s), including all rights under the Paris Convention for the Protection of Industrial Property and under the Patent Cooperation Treaty;
- (d) any application(s) for patent of the United States or other countries claiming the Invention(s);
- (e) any application(s) for patent of the United States or other countries claiming priority to the application for patent identified in paragraph (1) or (2) or any application(s) for patent claiming the Invention(s), including any division(s), continuation(s), and continuation(s)-in-part; and

(f) any provisional or other right to recover damages, including royalties, for prior infringements of any application for patent identified in the preceding paragraphs (b)-(e); and

(g) any patent(s) of the United States or other countries that may be granted for or on any application for patent identified in the preceding paragraphs (b) - (e), including any reissue(s) and extension(s) of said patent(s).

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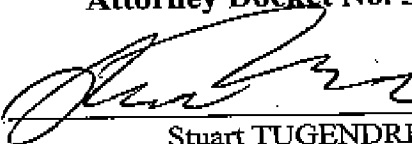
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Rev. 06/14/2002


Attorney Docket No. 5050-0070
Page 4

Date: 1/29/03

By: 
Stuart TUGENDREICH

State of _____)	
	ss.
County of _____)	
On _____, before me, _____, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.	
WITNESS my hand and official seal.	
Signature of Notary Public _____	Place Notary Seal Above

Date: Jan 30, 2003

By: 
Ving J. LEE

State of _____)	
	ss.
County of _____)	
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Rev. 6/14/2002

Attorney Docket No: 5050-0070

PATENT

ASSIGNMENT
(Joint)

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Rev. 06/14/2002

Attorney Docket No. 5050-0070

Page 2

(f) any provisional or other right to recover damages, including royalties, for prior infringements of any application for patent identified in the preceding paragraphs (b)-(e); and

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Rev. 06/14/2001

Attorney Docket No. 5050-0070

Page 3

The Assignor hereby requests the Commissioner of Patents to issue said patents of the United States to the Assignee for the sole use and behalf of the Assignee, its successors, legal representatives, and assigns.

Date: _____

By: _____
Dongxu SUN

State of _____)

ss.

County of _____)

On _____, before me, _____, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Signature of Notary Public

Place Notary Seal Above

Date: _____

By: _____
Edward L. PERKINS

State of _____)

ss.

County of _____)

On _____, before me, _____, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Signature of Notary Public

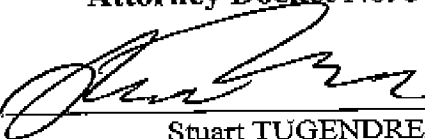
Place Notary Seal Above

Rev. 06/14/2002

Attorney Docket No. 5050-0070

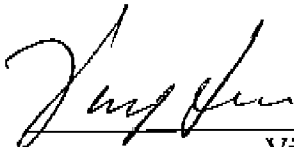
Page 4

Date: 1/29/03

By: Stuart TUGENDREICH

State of _____	_____
County of _____	ss. _____
On _____, before me, _____, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.	
WITNESS my hand and official seal.	
Signature of Notary Public _____	Place Notary Seal Above _____

Date: Jan 30, 2003

By: Ving J. LEE

State of _____	_____
County of _____	ss. _____
On _____, before me, _____, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.	
WITNESS my hand and official seal.	
Signature of Notary Public _____	Place Notary Seal Above _____