

PATENT ASSIGNMENT

Electronic Version v1.1

Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT										
NATURE OF CONVEYANCE:	ASSIGNMENT										
CONVEYING PARTY DATA											
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;">Name</th> <th style="width: 30%;">Execution Date</th> </tr> </thead> <tbody> <tr> <td>Xiaofeng Lu</td> <td>05/03/2007</td> </tr> <tr> <td>Bao-Lu Chen</td> <td>05/02/2007</td> </tr> <tr> <td>Kidisti Araya</td> <td>05/02/2007</td> </tr> <tr> <td>Augustus Okhamafe</td> <td>05/05/2007</td> </tr> </tbody> </table>		Name	Execution Date	Xiaofeng Lu	05/03/2007	Bao-Lu Chen	05/02/2007	Kidisti Araya	05/02/2007	Augustus Okhamafe	05/05/2007
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RECEIVING PARTY DATA											
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Name:</td> <td>Novartis Vaccines and Diagnostics, Inc.</td> </tr> <tr> <td>Street Address:</td> <td>4560 Horton Street</td> </tr> <tr> <td>City:</td> <td>Emeryville</td> </tr> <tr> <td>State/Country:</td> <td>CALIFORNIA</td> </tr> <tr> <td>Postal Code:</td> <td>94608-2916</td> </tr> </table>		Name:	Novartis Vaccines and Diagnostics, Inc.	Street Address:	4560 Horton Street	City:	Emeryville	State/Country:	CALIFORNIA	Postal Code:	94608-2916
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CORRESPONDENCE DATA											
<p>Fax Number: (919)862-2260</p> <p><i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i></p> <p>Phone: 919-862-2200</p> <p>Email: elaine.beer@alston.com</p> <p>Correspondent Name: Leslie T. Henry</p> <p>Address Line 1: 3201 Beechleaf Ct.</p> <p>Address Line 4: Raleigh, NORTH CAROLINA 27604</p>											
ATTORNEY DOCKET NUMBER:	035784/363527										
NAME OF SUBMITTER:	Leslie T. Henry										
<p>Total Attachments: 7</p> <p>source=308499 NuncProTuncAssignment#page1.tif</p>											

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PATENT
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NUNC PRO TUNC
ASSIGNMENT

THIS ASSIGNMENT, made by us, Xiaofeng Lu, citizen of the People's Republic of China, Bao-Lu Chen, citizen of the United States of America, Kidisti Araya, citizen of the United States of America, and Augustus Okhamafe, citizen of the United States of America, corrects and replaces the Assignment executed by the undersigned inventors in connection with U.S. Provisional Patent Application No. 60/794,011.

That Assignment for U.S. Provisional Patent Application No. 60/794,011 was deemed to be effective as of April 21, 2006, and was executed on April 13, 2007 (Bao-Lu Chen and Augustus Okhamafe), on April 14, 2007 (Xiaofeng Lu), and on April 17, 2007 (Kidisti Araya) and was subsequently recorded on April 18, 2007, in the Assignment Branch of the United States Patent and Trademark Office at Reel 019177, Frame 0594. Said Assignment, without any deceptive intent, erroneously identified the Assignee as NOVARTIS AG. The Assignee should have been identified as NOVARTIS VACCINES AND DIAGNOSTICS, INC. This Nunc Pro Tunc Assignment is also deemed to be effective as of April 21, 2006, and to have as the effective execution dates the signing dates of the originally executed Assignment, April 13, 2007, April 14, 2007, and April 17, 2007.

WITNESSETH: That,

WHEREAS, we, hereinafter referred to as **ASSIGNORS**, are the joint inventors of certain new and useful improvements in **ANTAGONIST ANTI-CD40 ANTIBODY PHARMACEUTICAL COMPOSITIONS** for which a PROVISIONAL application for United States Letters Patent has been filed in the United States Patent and Trademark Office on April 21, 2006, and bears Application No. 60/794,011, and

WHEREAS **NOVARTIS VACCINES AND DIAGNOSTICS, INC.**, a Delaware corporation having a principal place of business at 4560 Horton Street, Emeryville, CA 94608-2916 USA, hereinafter referred to as **ASSIGNEE**, is desirous of acquiring the entire right, title and interest in and to said invention as described in said application, and in and to any and all

Letters Patent which shall be granted therefor in the United States of America and all foreign countries;

NOW, THEREFORE, To Whom It May Concern, be it known that for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we have sold and by these presents do hereby sell, assign, transfer, and convey unto the said **ASSIGNEE**, its successors and assigns, the entire right, title, and interest in and to the said invention and application, and in and to any and all continuations, continuations-in-part, divisions, or non-provisionals claiming priority thereof, and in and to any and all Letters Patent of the United States of America and all foreign countries or reissues or extensions thereof which may be granted therefor or thereon, for the full end of the term for which said Letters Patent may be granted, together with the right to claim the priority of said application in all foreign countries in accordance with the International Convention, the same to be held and enjoyed by said **ASSIGNEE**, its successors and assigns, as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made.

ASSIGNORS hereby request that said Letters Patent be issued in accordance with this assignment.

ASSIGNORS further covenant and agree that, at the time of the execution and delivery of these presents, we possess full title to the invention and the subject applications above-mentioned, and that we have the unencumbered right and authority to make this assignment.

ASSIGNORS further agree that we will, without charge to said **ASSIGNEE**, but at **ASSIGNEE'S** expense, cooperate with **ASSIGNEE** in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as **ASSIGNEE** lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said **ASSIGNEE**, or **ASSIGNEE'S** successors and assigns.

IN WITNESS WHEREOF, **ASSIGNORS** have deemed this Assignment was effective April 21, 2006, and has as the effective execution dates April 13, 2007, April 14, 2007, and April 17, 2007.

IN WITNESS WHEREOF, **ASSIGNORS** have deemed this Assignment was effective April 21, 2006, and has as the effective execution dates April 13, 2007, April 14, 2007, and April 17, 2007.

DATE 03 MAY 07

Xiaofeng Lu
Xiaofeng Lu

*Please See California All-Purpose
Acknowledgment, Attached: CAC*

STATE OF _____)

COUNTY OF _____)

I, _____, a Notary Public for said County and State, do hereby certify that **Xiaofeng Lu** personally appeared before me this day and acknowledged the due execution of the foregoing instrument.

Witness my hand and official seal, this the _____ day of _____, 2007.

(Official Seal)

Notary Public

My commission expires: _____

CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of Contra Costa

On May 3, 2007 before me, Camille A. Chico, Notary Public
Date Name and Title of Officer (e.g., "Jane Doe, Notary Public")

personally appeared Xiaofeng Lu
Name(s) of Signer(s)

☐ personally known to me

☒ (or proved to me on the basis of satisfactory evidence)



to be the person(s) whose name(s) 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.

Place Notary Seal Above

Camille A. Chico

Signature of Notary Public

OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

Description of Attached Document

Title or Type of Document: Assignment

Document Date: 05/03/2007 Number of Pages: SIX

Signer(s) Other Than Named Above: 3 other signers.

Capacity(ies) Claimed by Signer(s)

Signer's Name: Xiaofeng Lu

- ☒ Individual
☐ Corporate Officer — Title(s): _____
☐ Partner — ☐ Limited ☐ General
☐ Attorney in Fact
☐ Trustee
☐ Guardian or Conservator
☐ Other: _____

Signer Is Representing: _____

RIGHT THUMBPRINT
OF SIGNER

Top of thumb here

Signer's Name: _____

- ☐ Individual
☐ Corporate Officer — Title(s): _____
☐ Partner — ☐ Limited ☐ General
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☐ Trustee
☐ Guardian or Conservator
☐ Other: _____

Signer Is Representing: _____

RIGHT THUMBPRINT
OF SIGNER

Top of thumb here

IN WITNESS WHEREOF, **ASSIGNORS** have deemed this Assignment was effective April 21, 2006, and has as the effective execution dates April 13, 2007, April 14, 2007, and April 17, 2007.

DATE 2 MAY 2007 Bao-Lu Chen
Bao-Lu Chen

STATE OF California)
COUNTY OF Contra Costa)

I, April Barajas, a Notary Public for said County and State, do hereby certify that **Bao-Lu Chen** personally appeared before me this day and acknowledged the due execution of the foregoing instrument.

Witness my hand and official seal, this the 2nd day of May, 2007.

(Official Seal)

April Barajas
Notary Public

My commission expires: Sept. 12, 2008



IN WITNESS WHEREOF, **ASSIGNORS** have deemed this Assignment was effective April 21, 2006, and has as the effective execution dates April 13, 2007, April 14, 2007, and April 17, 2007.

DATE 02 May 07

Kidisti Araya
Kidisti Araya

STATE OF California

COUNTY OF Alameda

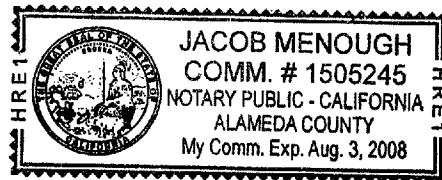
I, Jacob Menough, a Notary Public for said County and State, do hereby certify that **Kidisti Araya** personally appeared before me this day and acknowledged the due execution of the foregoing instrument.

Witness my hand and official seal, this the 2nd day of May, 2007.

(Official Seal)

Jacob Menough
Notary Public

My commission expires: 8/3/08



IN WITNESS WHEREOF, **ASSIGNORS** have deemed this Assignment was effective April 21, 2006, and has as the effective execution dates April 13, 2007, April 14, 2007, and April 17, 2007.

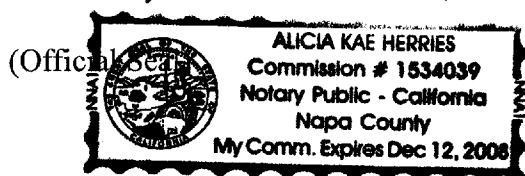
DATE 05 MAY 2007

Augustus Okhamafe
Augustus Okhamafe

STATE OF California)
COUNTY OF Napa)

I, Alicia Kae Herries, a Notary Public for said County and State, do hereby certify that **Augustus Okhamafe** personally appeared before me this day and acknowledged the due execution of the foregoing instrument.

Witness my hand and official seal, this the 4th day of May, 2007.



[Signature]
Notary Public

My commission expires: 12/12/2008

#30323091
(035784/308499)