

PATENT ASSIGNMENT

Electronic Version v1.1
Stylesheet Version v1.1

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|---|--------------------------|
| SUBMISSION TYPE: | NEW ASSIGNMENT |
| NATURE OF CONVEYANCE: | ASSIGNMENT |
| CONVEYING PARTY DATA | |
| Name | Execution Date |
| Hans-Joerg Fehling | 09/01/2003 |
| RECEIVING PARTY DATA | |
| Name: | Hoffman-La Roche LTD |
| Street Address: | Grenzacherstrasse 124 |
| City: | Basel |
| State/Country: | SWAZILAND |
| Postal Code: | 4070 |
| PROPERTY NUMBERS Total: 1 | |
| Property Type | Number |
| Application Number: | 12077976 |
| CORRESPONDENCE DATA | |
| Fax Number: | (212)223-4134 |
| <i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i> | |
| Email: | jmmacleod@crowell.com |
| Correspondent Name: | Janet M. MacLeod, Esq. |
| Address Line 1: | 590 Madison Avenue |
| Address Line 4: | New York, NEW YORK 10022 |
| ATTORNEY DOCKET NUMBER: | 102756.58208D1 |
| NAME OF SUBMITTER: | Janet M. MacLeod, Esq. |
| Total Attachments: 5 source=RECORDAL3#page1.tif source=ASSIGNMENT3#page1.tif source=ASSIGNMENT3#page2.tif source=ASSIGNMENT3#page3.tif source=ASSIGNMENT3#page4.tif | |

OP \$40.00 12077976

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PATENT
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RECORDATION FORM COVER SHEET PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)

Gordon M. Keller, Valerie Kouskoff and Atsushi Kubo

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

3. Nature of conveyance/Execution Date(s):

Execution Date(s) November 16, 2005 and November 17, 2005

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Joint Research Agreement
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License
☐ Other _____

2. Name and address of receiving party(ies)

Name: Mount Sinai School of Medicine of New York University

Internal Address: _____

Street Address: One Gustave L. Levy Place

City: New York

State: New York

Country: _____ Zip: 10029

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application or patent number(s):

☐ This document is being filed together with a new application.

A. Patent Application No.(s)

B. Patent No.(s)

12/077,976

Additional numbers attached? ☐ Yes ☒ No

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

Name: Crowell & Moring LLP

Internal Address: _____

Street Address: PO Box 14300

City: Washington

State: DC Zip: 20078-8305

Phone Number: 202-624-2500

Fax Number: 212-223-4134

Email Address: jmmacleod@crowell.com

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41) \$40.00

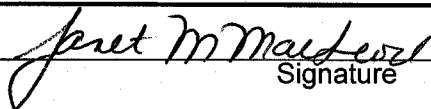
- ☐ Authorized to be charged to deposit account
☒ Enclosed
☐ None required (government interest not affecting title)

8. Payment Information

Deposit Account Number 05-1323

Authorized User Name Janet M. MacLeod

9. Signature:


Signature

April 1, 2010
Date

Janet M. MacLeod - Reg. No. 35,263

Name of Person Signing

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

5

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

ASSIGNMENT

Attorney Docket No.: 14435.02

Page 1 of 2

First Named Inventor: Gordon M. Keller

Title: Mesoderm and Definitive Endoderm Cell Populations

WHEREAS, WE, GORDON M. KELLER, VALERIE KOUSKOFF and ATSUSHI KUBO, citizens of the Canada, France and Japan, respectively, and having post office addresses at Department of Gene and Cell Medicine, Mount Sinai School of Medicine, One Gustave L. Levy Place, New York, NY 10029-6574, Paterson Institute for Cancer Research, Christie Hospital NHS Trust, Wilmslow Road, Manchester, M20 B4X, United Kingdom, and Department of Public Health, Nara Medical University, 840 Shijo, Kashihara, Nara 634-8521, Japan, respectively, have invented certain new and useful improvements as described in an application entitled MESODERM AND DEFINITIVE ENDODERM CELL POPULATIONS for Letters Patent under the Patent Cooperation Treaty designating, among other nations, the United States, the application being identified in the United States Patent and Trademark Office as Receiving Office by Application No. PCT/US03/15658, filed May 19, 2003; and

WHEREAS, MOUNT SINAI SCHOOL OF MEDICINE OF NEW YORK UNIVERSITY, a corporation organized and existing under the laws of the State of New York, and having offices at One Gustave L. Levy Place, New York, NY 10029-6574, ("Assignee") is desirous of acquiring the entire right, title and interest in and to the invention, the application, and any and all Letters Patent or similar legal protection, foreign or domestic, to be obtained therefor;

NOW, THEREFORE, for good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, WE transfer to Assignee, its successors and assigns, our entire right, title, and interest in and to the invention, the above-identified patent application, corresponding domestic applications (including divisionals, continuations, and continuations-in-part), corresponding foreign applications, all Letters Patent or similar legal protection issuing thereon, and all rights and benefits under any applicable treaty or convention; and WE authorize the Commissioner of Patents and Trademarks of the United States or foreign equivalent thereof to issue the Letters Patent or similar legal protection to the Assignee.

WE authorize the Assignee, its successors and assigns, or anyone it may properly designate, to apply for Letters Patent or similar legal protection, in its own name if desired, in any and all foreign countries.

WE represent to the Assignee, its successors and assigns, that WE have not and shall not execute any writing or do any act whatsoever conflicting with this Assignment. WE, our executors or administrators, will at any time upon request, without additional consideration, but at the expense of the Assignee, its successors and assigns, execute such additional writings and do such additional acts as the Assignee, its successors and assigns, may deem desirable to perfect its enjoyment of this grant, and render all assistance in making application for and obtaining, maintaining, and enforcing the Letters Patent or similar legal protection on the invention in any and all countries.

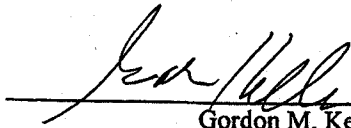
ASSIGNMENT

Attorney Docket No.: 14435.02

Page 2 of 2

First Named Inventor: Gordon M. Keller


Title: Mesoderm and Definitive Endoderm Cell Populations


Gordon M. Keller

CERTIFICATE OF ACKNOWLEDGMENT

STATE OF New York ,
COUNTY OF New York ; SS.

Subscribed and sworn to before me, a Notary Public, this 16 day of November, 2005.


JEAN O. HERMELE Notary Public
(SEAL) Notary Public, State of New York
No. 01HE6048050
Qualified in New York County
Commission Expires Sep 18 2006

Date: _____
Valerie Kouskoff

WITNESSES:

Name: _____

Name: _____

Date: _____
Atsushi Kubo

WITNESSES:

Name: _____

Name: _____

4811-9305-8048\1

| | | |
|-------------------|--|-------------|
| ASSIGNMENT | Attorney Docket No.: 14435.02 | Page 2 of 2 |
| | First Named Inventor: Gordon M. Keller | |
| | Title: Mesoderm and Definitive Endoderm Cell Populations | |

Gordon M. Keller

CERTIFICATE OF ACKNOWLEDGMENT

STATE OF _____)

: SS.

COUNTY OF _____)

Subscribed and sworn to before me, a Notary Public, this ____ day of _____, 2005.

Notary Public

(SEAL)

Date: 11-16-05

Valerie Kouskoff

WITNESSES:

Georges LACROIX
Name:

Christophe LANCRAIN
Name:

Date: _____

Atsushi Kubo

WITNESSES:

Name:

Name:

4811-9305-8048\1

| | | |
|-------------------|--|-------------|
| ASSIGNMENT | Attorney Docket No.: 14435.02 | Page 2 of 2 |
| | First Named Inventor: Gordon M. Keller | |
| | Title: Mesoderm and Definitive Endoderm Cell Populations | |

Gordon M. Keller

CERTIFICATE OF ACKNOWLEDGMENT

STATE OF _____)
: SS.
COUNTY OF _____)

Subscribed and sworn to before me, a Notary Public, this ____ day of _____, 2005.

Notary Public

(SEAL)

Date: _____

Valerie Kouskoff

WITNESSES:

Name: _____

Name: _____

Date: 17 Nov, 2005

Atsushi Kubo
Atsushi Kubo

WITNESSES:

Mako Tabunoachi
Name:

Mitsuaki Takeuchi
Name:

4811-9305-80481

PATENT

RECORDED: 04/01/2010

REEL: 024175 FRAME: 0512