


Client Code: HLICN.002DV1

**RECORDATION FORM COVER SHEET  
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To the Director, U.S. Patent and Trademark Office: Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies): (List using letters or numbers for multiple parties)</p> <p>1. Alan P. Kaplan 2. Varsha Gupta 3. Jan W.F. Wasley</p> <p>Additional name(s) of conveying party(ies) attached?</p> <p>( ) Yes (X) No</p>	<p>2. Name and address of receiving party(ies):</p> <p><b>Name:</b> Helicon Therapeutics, Inc. <b>Internal Address:</b> <b>Street Address:</b> 7473 Lusk Boulevard <b>City:</b> San Diego <b>State:</b> CA <b>ZIP:</b> 92121</p> <p>Additional name(s) of receiving party(ies) attached?</p> <p>( ) Yes (X) No</p>
<p>3. Nature of conveyance:</p> <p>(X) Assignment ( ) Security Agreement ( ) Merger ( ) Change of Name ( ) Other:</p> <p>Execution Date: (List as in section 1 if multiple signatures)</p> <p>1. July 10, 2008 2. July 10, 2008 3. July 11, 2008</p>	<p>4. US or PCT Application number(s) or US Patent number(s):</p> <p>(X) Patent Application No.: 12/949,655 Filing Date: November 18, 2010</p> <p>Additional numbers attached?</p> <p>( ) Yes (X) No</p>
<p>5. Party to whom correspondence concerning document should be mailed:</p> <p><b>Customer No.</b> 20,995</p> <p><b>Address:</b> Knobbe, Martens, Olson &amp; Bear, LLP 2040 Main Street, 14<sup>th</sup> Floor Irvine, CA 92614</p> <p><b>Return Fax:</b> (949) 760-9502</p> <p><b>Attorney's Docket No.:</b> HLICN.002DV1</p>	<p>6. Total number of applications and patents involved: 1</p>
<p>7. Total fee (37 CFR 1.21(h)): \$40</p> <p>(X) Authorized to be charged to deposit account</p>	<p>8. Deposit account number: 11-1410</p> <p>Please charge this account for any additional fees which may be required, or credit any overpayment to this account.</p>
<p>9. Statement and signature.</p> <p>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.</p> <p><u>Ned A. Israelsen</u> Name of Person Signing</p> <p> Signature</p> <p><u>11-22-10</u> Date</p> <p>29,655 Registration No.</p> <p>Total number of pages including cover sheet, attachments and document: 5</p>	

Documents transmitted via Facsimile to be recorded with required cover sheet information to:

**Mail Stop Assignment Recordation Services**  
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**Facsimile Number: (571) 273-0140**

Application No.: 12/135,036  
Filing Date: June 6, 2008

**PATENT**  
Client Code: HLICN.002A  
Page 1

### ASSIGNMENT

WHEREAS, We, Alan P. Kaplan, a U.S. citizen, residing at 9785 Wren Bluff Drive, San Diego, CA 92127, Varsha Gupta, a U.S. citizen, whose address is 7473 Lusk Boulevard, San Diego, CA 92121, and Jan W.F. Wasley, a U.S. citizen, residing at 1 Stone Fence Lane, Guilford, CT 06437, have invented certain new and useful improvements in a THERAPEUTIC PYRAZOLOQUINOLINE DERIVATIVES for which we have filed an application for Letters Patent in the United States, Application No. 12/135,036;

AND WHEREAS, Helicon Therapeutics, Inc. (hereinafter "ASSIGNEE"), a Delaware Corporation, with its principal place of business at 7473 Lusk Boulevard, San Diego, CA 92121, desires to acquire the entire right, title, and interest in and to said improvements and said Application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, I, said inventor, do hereby acknowledge that I have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto said ASSIGNEE, its successors, legal representatives and assigns, the entire right, title, and interest throughout the world in, to and under said improvements, and said application including all provisional applications relating thereto (including but not limited to U.S. Provisional Application No(s). 60/943,005, filed June 8, 2007 (respectively if plural applications)), and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and I hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

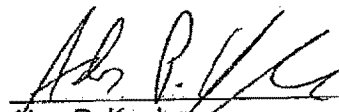
AND WE DO HEREBY sell, assign, transfer, and convey to ASSIGNEE, his successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of said Letters Patent before or after issuance.

AND WE HEREBY covenant and agree that we will communicate to said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

Application No.: 12/135,036  
Filing Date: June 6, 2008

PATENT  
Client Code: HLICN.002A  
Page 2

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day of July, 2008.

  
Alan P. Kaplan

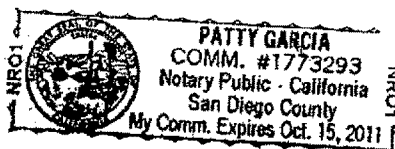
STATE OF California }  
COUNTY OF San Diego } ss.

On July 10, 2008, before me, Patty Garcia, notary public, personally appeared Alan P. Kaplan who 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 executed the same in his authorized capacity(ies), and that by his signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

[SEAL]



  
Notary Signature

Application No.: 12/135,036  
Filing Date: June 6, 2008

PATENT  
Client Code: HLICN.002A  
Page 3

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day of  
July, 2008.

Varsha Gupta  
Varsha Gupta

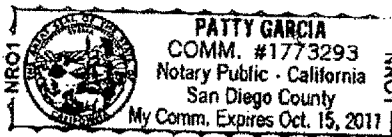
STATE OF California }  
COUNTY OF San Diego } ss.

On July 10, 2008, before me, Patty Garcia, notary public,  
personally appeared Varsha Gupta who 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 she executed the same in her authorized capacity(ies), and that by her signature(s)  
on the instrument the person(s), or the entity upon behalf of which the person(s) acted,  
executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the  
foregoing paragraph is true and correct.

WITNESS my hand and official seal.

[SEAL]



Patty Garcia  
Notary Signature

Application No.: 12/135,036  
Filing Date: June 6, 2008

PATENT  
Client Code: HLICN.002A  
Page 4

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 11<sup>th</sup> day of July, 2008.

Jan W.F. Wasley  
Jan W.F. Wasley

STATE OF CONNECTICUT }  
COUNTY OF NEW HAVEN } ss.

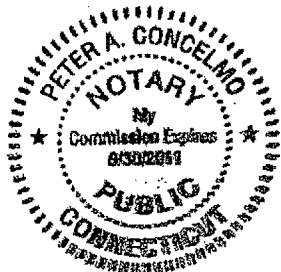
On JULY 11, 2008, before me, PETER A. CONCELMO, notary public, personally appeared Jan W.F. Wasley who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity(ies), and that by his/her signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

[SEAL]

Peter A. Concelmo  
Notary Signature



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