

PATENT ASSIGNMENT

Electronic Version v1.1
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SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
NOVARTIS VACCINES AND DIAGNOSTICS SRL	11/14/2011
RECEIVING PARTY DATA	
Name:	NOVARTIS AG
Street Address:	LICHTSTRASSE 35
City:	BASEL
State/Country:	SWITZERLAND
Postal Code:	4056
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	13820370
CORRESPONDENCE DATA	
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ATTORNEY DOCKET NUMBER:	PAT054166-US-PCT
NAME OF SUBMITTER:	Felicia Soria
Signature:	/Felicia Soria/
Date:	06/03/2013
Total Attachments: 4 source=Asg-SRL-to-AG-54166-US-PCT#page1.tif source=Asg-SRL-to-AG-54166-US-PCT#page2.tif source=Asg-SRL-to-AG-54166-US-PCT#page3.tif source=Asg-SRL-to-AG-54166-US-PCT#page4.tif	

CH \$40.00 13820370

RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

Atty Docket No.: PAT054166-US-PCT

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

1. Name of conveying party(ies):

NOVARTIS VACCINES AND DIAGNOSTICS SRL
Via Fiorentina, 1
I-53100 Siena
ITALY

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

2. Name and address of receiving party(ies)

Name:

NOVARTIS AG
Lichtstrasse 35
4056 Basel
SWITZERLAND

3. Nature of conveyance:

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

☐ Other

Execution Date(s): 11/14/2011

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

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)

PCT/US2011/050231 (now 13/820,370)

B. Patent No.(s)

Additional number(s) attached ☐ Yes ☒ No

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

NOVARTIS VACCINES AND DIAGNOSTICS, INC.
Corporate Intellectual Property - X 100B
P.O. Box 8097
Emeryville, CA 94662-8097
US

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,

8. Deposit account number: **03-1664**

(Attach duplicate copy of this page if paying by deposit account)

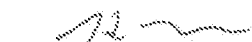
DO NOT USE THIS SPACE

9. Statement and signature.

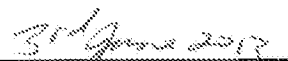
To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Helen Lee, Reg. No. 39,270

Name of Person Signing



Signature



Date

Total number of pages including cover sheet, attachments, and document: 4

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, VA 22313-1450

ASSIGNMENT OF PATENT APPLICATION

Whereas NOVARTIS VACCINES AND DIAGNOSTICS SRL, with a place of business at Via Fiorentina 1, I-53100, Siena, Italy, ("ASSIGNOR") and Novartis AG, a corporation of Switzerland having a place of business at Lichtstrasse 35, 4056 Basel, Switzerland, ("ASSIGNEE") have agreed that ASSIGNEE shall acquire from ASSIGNOR the following patents and/or patent applications ("PATENT PROPERTIES"):

<u>Patent No.</u>	<u>Application No.</u>	<u>Filing Date</u>	<u>Issue Date</u>
	13/223,793	September 1, 2011	
	PCT/US2011/050231	September 1, 2011	

Therefore, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, ASSIGNOR, the owner of the entire right, title, and interest in the PATENT PROPERTIES, hereby sells, assigns, transfers and conveys to ASSIGNEE, its designees, successors, assigns and legal representatives, the entire right, title and interest in the PATENT PROPERTIES and all divisions, continuations, reissues and reexaminations thereof, the inventions therein, and all rights to claim priority from the PATENT PROPERTIES and all applications for patent that may be filed for the inventions in any foreign country and all patents that may be granted on the inventions in any foreign country, and all extensions, renewals, and reissues thereof; each and every of the foregoing rights, titles and interests herein assigned shall be held and enjoyed by ASSIGNEE, its successors, assigns and legal representatives, as fully and entirely as the same would have been held and enjoyed by ASSIGNOR had this Assignment not been made. This Assignment is effective as from the earliest priority date as stated above.

IN TESTIMONY WHEREOF, Assignor has caused this Assignment to be duly executed in its name and behalf by affixing its hand and seal thereto by its designated officer, director, or agent, whose name and title appear below.

Executed at Siena, Italy this 14th day of November, 2011.

Novartis Vaccines and Diagnostics SRL



Signature

Name: Stephen John Eves Evans

Title: Attorney-in-Fact



Witness



Witness


Case No. PAT054166-US-NP

ACCEPTANCE OF ASSIGNMENT

With reference to the Assignment to **NOVARTIS AG** of inventions entitled "**ADSORPTION OF IMMUNOPOTENTIATORS TO INSOLUBLE METAL SALTS**" signed by **Novartis Vaccines and Diagnostics SRL**; this will certify that **NOVARTIS AG** accepts such Assignment.

NOVARTIS AG

By:



Name:

Melodi K. Dice

Nafra Bates

Function:

Authorized Representative

Authorized Representative

Date:

28 November 2011