

Form PTO-1595 (Rev. 06-12)  
OMB No. 0651-0027 (exp. 04/30/2015)

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

## 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)

Lawrence Irwin Glass

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

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

Execution Date(s) May 16, 2013; May 23, 2013

- ☒ 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: Neuren Pharmaceuticals Limited

Internal Address: Level 1

Street Address: 59 Wellington Street, Freemans Bay

City: Auckland

State: \_\_\_\_\_

Country: New Zealand

Zip: \_\_\_\_\_

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

### 4. Application or patent number(s):

☐ This document serves as an Oath/Declaration (37 CFR 1.63).

A. Patent Application No.(s)

B. Patent No.(s)

13/699,087

Additional numbers attached? ☐ Yes ☒ No

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

Name: D. Benjamin Borson, Ph.D.

Internal Address: Suite 200

Street Address: 1078 Carol Lane

City: Lafayette

State: CA

Zip: 94549

Phone Number: (925) 310-2060

Docket Number: NRNZ-01018US16

Email Address: bborson@borsonlaw.com

### 6. Total number of applications and patents involved: \_\_\_\_\_

### 7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40

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

### 8. Payment Information

Deposit Account Number 504089

Authorized User Name D. Benjamin Borson

### 9. Signature:

D. Benjamin Borson  
Signature

5 June 2013

Date

D. Benjamin Borson, Ph.D.

Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 17

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

PATENT

700506111

REEL: 030620 FRAME: 0855

CH \$40.00 504089 13699087

Attachment to Recordation Form Cover Sheet dated 5 June 2013 in 13/699,078

Additional Conveying Parties:

Michael John Bickerdike

Michael Frederick Snape

**DEED OF ASSIGNMENT****PARTIES:**

- (1) **Lawrence Irwin Glass**, also known as Larry Glass, a resident of 7410 Piney Branch Road, Takoma Park, Maryland 20912, U.S.A. ("**First Inventor**");
- (2) **Michael John Bickerdike**, a resident of 41 Waimarie Street, St. Heliers, Auckland, New Zealand ("**Second Inventor**"); and
- (3) **Michael Frederick Snape**, a resident of 111 Thorkhill Road, Thames Ditton, Surrey KT7 0UW, G.B. ("**Third Inventor**");

together referred to as "**Inventors**"; and

- (4) **Neuren Pharmaceuticals Limited**, a New Zealand company, having a place of business at Level 1, 59 Wellington Street, Freemans Bay, Auckland, New Zealand ("**Assignee**");

each referred to as a "**Party**" and collectively the "**Parties**".

**COVENANTS**

WHEREAS, the Inventors have created certain new inventions and have filed the following applications ("**the Patent Applications**") disclosing the inventions:

- |                                       |   |
|---------------------------------------|---|
| <b>(a) Title:</b>                     | <b>Treatment of Autism Spectrum Disorders Using Glycyl-L-2-MethylProlyl-L-Glutamic Acid</b> |
| <b>Application No.:</b>               | <b>PCT/US2012/000047</b>  |
| <b>International Publication No.:</b> | <b>WO2012/102832</b>  |
| <b>Filing Date:</b>                   | <b>27 January 2012</b>  |
| <b>Ref No.:</b>                       | <b>1018WO3</b>  |
|                                       |   |
| <b>(b) Title:</b>                     | <b>Treatment of Autism Spectrum Disorders Using Glycyl-L-2-MethylProlyl-L-Glutamic Acid</b> |
| <b>Application No.:</b>               | <b>No. 13/699,087</b>   |
| <b>Filing Date:</b>                   | <b>20 November 2012</b>   |
| <b>Ref No.:</b>                       | <b>1018US16</b>   |

WHEREAS the Assignee wishes to acquire the entire right, title and interest in and to: (a) the Patent Applications and (b) the inventions disclosed in them, together with all embodiments of the inventions, and any improvements in, modifications of or additions to the inventions, conceived, made or discovered jointly or severally by the Inventors, while employed by the Assignee or under a commission for money or money's worth from the Assignee (collectively referred to as "**the Inventions**"), and (c) any and all patents, certificates of invention, other governmental grants and other forms of protection which may exist or come into existence in relation to the inventions in any country of the world (collectively referred to as "**the Patents**").

WHEREAS the Assignee has requested the Inventors to execute this Deed of Assignment.

WHEREAS the First Inventor and the Second Inventor are the employees of the Assignee and they have invented the Inventions in the course of their employment.

WHEREAS the Third Inventor is a contractor to the Assignee and he has invented the Inventions in the performance of services for the Assignee, under a commission for money or money's worth.

NOW THEREFORE, for good and valuable consideration, acknowledged by each of the Inventors to have been received in full from the Assignee:

1. Each of the Inventors hereby sells, assigns, transfers and conveys to the Assignee, the entire right, title and interest:

- (a) in and to the Inventions;
- (b) in and to the Patent Applications together with any future Patent(s) granted on the Patent Applications;
- (c) to apply for Patents in any or all countries of the world;
- (d) in and to any and all applications for Patents filed anywhere in the world, including, without limitation, the entire right, title and interest in each and every divisional, continuation, continuation-in-part, supplementary protection application or additional application filed or any applications for Patents filed pursuant to any international convention, treaty, agreement or understanding;
- (e) in and to any and all future Patents granted on applications referred to in paragraph (d) above;
- (f) in and to each and every reissue or extension of any and all Patents referred to in paragraphs (b) and (e) above; and
- (g) in and to each and every Patent claim resulting from a reexamination certificate for any and all Patents referred to in paragraphs (b) and (e) above.

2. The assignment effected in Clause 1 above includes, without limitation, the assignment of the right to sue for damages and for any legal and equitable remedies in respect of all causes of action arising before, on or after the date of this Deed in relation to any right, title and interest conveyed in this Deed.

3. Each Inventor hereby covenants and agrees to cooperate with the Assignee to enable the Assignee to enjoy to the fullest extent the right, title and interest conveyed in this Deed. Such cooperation by the Inventors shall include prompt production of pertinent facts and documents, giving of testimony, executing of petitions, oaths, specifications, declarations or other papers, and other assistance, all to the extent deemed necessary or desirable by the Assignee:

- (a) to perfect in the Assignee the right, title and interest conveyed in this Deed;
- (b) to comply with any duty of disclosure;
- (c) to prosecute the Patent Applications;
- (d) to file and prosecute any applications for Patents including, without limitation, any divisional, continuation, continuation-in-part, supplementary protection or additional application or any application for Patents filed pursuant to any international convention, treaty, agreement or understanding;
- (e) to file and prosecute applications for reissue of any of the Patents;
- (f) for interference or other priority proceedings involving the Inventions; or
- (g) for legal proceedings involving the Inventions and any patent applications therefor and any Patents granted thereon, including, without limitation, opposition proceedings, cancellation proceedings, priority contests, public use proceedings, reexamination proceedings, compulsory licensing proceedings, infringement actions and court actions;

provided, however, that the expense incurred by said Inventors in providing such cooperation shall be paid for by the Assignee.

4. Each of the Inventors hereby irrevocably appoints the Assignee as his or her attorney with full power to act in his or her name and on his or her behalf in fulfilling any of the obligations set out in Clause 3 if:

- (a) the Inventor fails to do any of the acts set out in Clause 3, after being requested to do so by the Assignee; or
- (b) if the Assignee is unable, after making reasonable and proper inquiries, to locate the Inventor to request the fulfillment of his or her obligations under Clause 3.

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6. The terms and covenants of this Deed of Assignment shall inure to the benefit of the Assignee, its successors, assigns and other legal representatives, and shall be binding upon the Inventors, their respective heirs, legal representatives and assigns.

7. The Inventors hereby jointly and severally warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

8. The Inventors acknowledge that:
- (a) the Assignee has recommended that each of them seek independent legal advice regarding whether or not to enter into this Deed of Assignment;
  - (b) they had the opportunity to do so, prior to signing this Deed; and
  - (c) if they elect not to seek legal advice, they understand and acknowledge that they take responsibility for their decision.

9. **Waiver:** No failure or delay by any Party in exercising any right, power or privilege under this Deed will operate as a waiver of such right, power or privilege, nor will any single or partial exercise preclude any other or further exercise of any right, power or privilege under this Deed.

10. **Entire agreement:** This Deed contains the whole of the contract and understanding between the Parties relating to the matters covered by it and supersedes all prior representations, agreements, statements and understandings between the Parties relating to those matters, whether verbal or in writing.

11. **Counterparts:** This Deed may be executed in counterparts, all of which together shall be considered a single instrument. The Parties acknowledge that this Deed may be executed on the basis of an exchange of electronic copies and confirm that their respective execution of this Deed by such means will be a valid and sufficient execution.

12. **Governing law:** The formation, validity, construction and performance of this Deed will be governed and construed in accordance with the laws of New Zealand. The Parties irrevocably agree that the Courts of New Zealand will have non-exclusive jurisdiction to hear and determine all disputes under or in connection with this deed. The Parties irrevocably waive any objections to New Zealand as the forum for proceedings on the grounds of forum non-conveniens or any similar grounds.

IN WITNESS WHEREOF, the Parties have executed this instrument as a DEED on the last date given below:

Signed by Lawrence Irwin Glass

(1)  16 May 2013  
Signature Date

In the presence of:

(1) Witness Signature: Charla T. Glass May 16, 2013  
Date

(1) Name (Printed): Charla T. Glass

(1) Occupation: Licensed Clinical Social Worker

(1) Address: 7410 Piney Br. Rd., Takoma Park, MD. 20912

Signed by Michael John Bickerdike

\_\_\_\_\_  
Signature Date

In the presence of:

Witness Signature: \_\_\_\_\_ Date \_\_\_\_\_

Name (Printed): \_\_\_\_\_

Occupation: \_\_\_\_\_

Address: \_\_\_\_\_

Signed by Michael Frederick Snape

\_\_\_\_\_  
Signature Date

In the presence of:

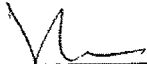
Witness Signature: \_\_\_\_\_ Date \_\_\_\_\_

Name (Printed): \_\_\_\_\_

Occupation: \_\_\_\_\_

Address: \_\_\_\_\_

Signed on behalf of Neuren Pharmaceuticals Limited by:

  
Signature of Director  
Larry Glass  
Name of Director

16 May 2013  
Date

In the presence of:

Witness Signature Charles T. Glass May 16, 2013  
Date

Name (Printed): Charles T. Glass

Occupation: Licensed Clinical Social Worker

Address: 7410 Piney Br. Road, Takoma Park, MD. 20912

**DEED OF ASSIGNMENT****PARTIES:**

- (1) **Lawrence Irwin Glass**, also known as Larry Glass, a resident of 7410 Piney Branch Road, Takoma Park, Maryland 20912, U.S.A. ("**First Inventor**");
- (2) **Michael John Bickerdike**, a resident of 41 Waimarie Street, St. Heliers, Auckland, New Zealand ("**Second Inventor**"); and
- (3) **Michael Frederick Snape**, a resident of 111 Thorkhill Road, Thames Ditton, Surrey KT7 0UW, G.B. ("**Third Inventor**");

together referred to as "**Inventors**"; and

- (4) **Neuren Pharmaceuticals Limited**, a New Zealand company, having a place of business at Level 1, 59 Wellington Street, Freemans Bay, Auckland, New Zealand ("**Assignee**");

each referred to as a "**Party**" and collectively the "**Parties**".

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| Application No.: | <b>PCT/US2012/000047</b>  |
| International    |   |
| Publication No.: | <b>WO2012/102832</b>  |
| Filing Date:     | <b>27 January 2012</b>  |
| Ref No.:         | <b>1018WO3</b>  |
|                  |   |
| (b) Title:       | <b>Treatment of Autism Spectrum Disorders Using Glycyl-L-2-MethylProlyl-L-Glutamic Acid</b> |
| Application No.: | <b>No. 13/699,087</b>   |
| Filing Date:     | <b>20 November 2012</b>   |
| Ref No.:         | <b>1018US16</b>   |

WHEREAS the Assignee wishes to acquire the entire right, title and interest in and to: (a) the Patent Applications and (b) the inventions disclosed in them, together with all embodiments of the inventions, and any improvements in, modifications of or additions to the inventions, conceived, made or discovered jointly or severally by the Inventors, while employed by the Assignee or under a commission for money or money's worth from the Assignee (collectively referred to as "**the Inventions**"), and (c) any and all patents, certificates of invention, other governmental grants and other forms of protection which may exist or come into existence in relation to the Inventions in any country of the world (collectively referred to as "**the Patents**").

WHEREAS the Assignee has requested the Inventors to execute this Deed of Assignment.





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- (b) in and to the Patent Applications together with any future Patent(s) granted on the Patent Applications;
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7. The Inventors hereby jointly and severally warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

8. The Inventors acknowledge that:
- (a) the Assignee has recommended that each of them seek independent legal advice regarding whether or not to enter into this Deed of Assignment;
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Signed by Lawrence Irwin Glass

(1) \_\_\_\_\_  
Signature Date

In the presence of:


(1) Witness Signature: \_\_\_\_\_  
Date

(1) Name (Printed): \_\_\_\_\_

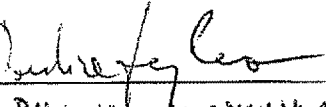
(1) Occupation: \_\_\_\_\_

(1) Address: \_\_\_\_\_

Signed by Michael John Bickerdike

 \_\_\_\_\_  
Signature Date 16/5/13

In the presence of:

Witness Signature:  \_\_\_\_\_  
Date 16/5/2013

Name (Printed): PAULINA LUCZYNSKA

Occupation: 1<sup>st</sup> MANAGER

Address: 11A WARD CRET, 10 HATH PENINSULA, AUSTRALIA

Signed by Michael Frederick Snape

\_\_\_\_\_  
Signature Date

In the presence of:

Witness Signature: \_\_\_\_\_  
Date

Name (Printed): \_\_\_\_\_

Occupation: \_\_\_\_\_

Address: \_\_\_\_\_

**Signed on behalf of Neuren Pharmaceuticals Limited by:**

\_\_\_\_\_  
Signature of Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Director

**In the presence of:**

Witness Signature \_\_\_\_\_

\_\_\_\_\_  
Date

Name (Printed): \_\_\_\_\_

Occupation: \_\_\_\_\_

Address: \_\_\_\_\_

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  - (b) they had the opportunity to do so, prior to signing this Deed; and
  - (c) if they elect not to seek legal advice, they understand and acknowledge that they take responsibility for their decision.

9. **Waiver:** No failure or delay by any Party in exercising any right, power or privilege under this Deed will operate as a waiver of such right, power or privilege, nor will any single or partial exercise preclude any other or further exercise of any right, power or privilege under this Deed.

10. **Entire agreement:** This Deed contains the whole of the contract and understanding between the Parties relating to the matters covered by it and supersedes all prior representations, agreements, statements and understandings between the Parties relating to those matters, whether verbal or in writing.

11. **Counterparts:** This Deed may be executed in counterparts, all of which together shall be considered a single instrument. The Parties acknowledge that this Deed may be executed on the basis of an exchange of electronic copies and confirm that their respective execution of this Deed by such means will be a valid and sufficient execution.

12. **Governing law:** The formation, validity, construction and performance of this Deed will be governed and construed in accordance with the laws of New Zealand. The Parties irrevocably agree that the Courts of New Zealand will have non-exclusive jurisdiction to hear and determine all disputes under or in connection with this deed. The Parties irrevocably waive any objections to New Zealand as the forum for proceedings on the grounds of forum non-conveniens or any similar grounds.

IN WITNESS WHEREOF, the Parties have executed this instrument as a DEED on the last date given below:

**Signed by Lawrence Irwin Glass**

(1) \_\_\_\_\_  
Signature Date

**In the presence of:**

(1) Witness Signature: \_\_\_\_\_  
Date

(1) Name (Printed): \_\_\_\_\_

(1) Occupation: \_\_\_\_\_

(1) Address: \_\_\_\_\_

**Signed by Michael John Bickerdike**

\_\_\_\_\_  
Signature Date

**In the presence of:**

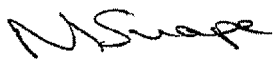
Witness Signature: \_\_\_\_\_  
Date

Name (Printed): \_\_\_\_\_

Occupation: \_\_\_\_\_

Address: \_\_\_\_\_

**Signed by Michael Frederick Snape**

  
\_\_\_\_\_  
Signature Date 23<sup>rd</sup> May 2013

**In the presence of:**

Witness Signature: Rose Snape  
Date 23<sup>rd</sup> May 2013

Name (Printed): Rose Snape \_\_\_\_\_

Occupation: Social Worker \_\_\_\_\_

Address: Throwsters Womersley Surrey GU5 0PF GB \_\_\_\_\_



Signed on behalf of Neuren Pharmaceuticals Limited by:

\_\_\_\_\_  
Signature of Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name of Director

In the presence of:

Witness Signature \_\_\_\_\_

\_\_\_\_\_  
Date

Name (Printed): \_\_\_\_\_

Occupation: \_\_\_\_\_

Address: \_\_\_\_\_