

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT3030261

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
MICHAEL CROWE	04/07/2014
JOVANA NAZOR	01/16/2014
DEREK SMITH	02/03/2014
SHIWEI SONG	02/03/2014
RECEIVING PARTY DATA	
Name:	CODEXIS, INC.
Street Address:	200 PENOBSCOT DRIVE
City:	REDWOOD CITY
State/Country:	CALIFORNIA
Postal Code:	94063
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	14384233
CORRESPONDENCE DATA	
Fax Number:	
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
Phone:	8627780705
Email:	cindy.klepacky@novartis.com
Correspondent Name:	CINDY KLEPACKY
Address Line 1:	ONE HEALTH PLAZA
Address Line 4:	EAST HANOVER, NEW JERSEY 07936
ATTORNEY DOCKET NUMBER:	PAT055051-US-PCT02
NAME OF SUBMITTER:	CINDY KLEPACKY
SIGNATURE:	/Cindy Klepacky/
DATE SIGNED:	09/19/2014
Total Attachments: 24	
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source=Inventors_to_Codexis_Inc#page24.tif

ASSIGNMENT

This Assignment Agreement is entered into by and between

1. Michael CROWE citizen of c/o Codexis, Inc.
the United Kingdom. 200 Penobscot Drive
Redwood City, California 94063
US

2. Jovana NAZOR citizen of Croatia c/o Codexis, Inc.
200 Penobscot Drive
Redwood City, California 94063
US

3. Derek SMITH citizen of the c/o Codexis, Inc.
United Kingdom 200 Penobscot Drive
Redwood City, California 94063
US

4. Shiwei SONG citizen of China c/o Codexis, Inc.
200 Penobscot Drive
Redwood City, California 94063
US

(hereinafter "Inventor(s)"), and Codexis, Inc., 200 Penobscot Drive, Redwood City, California 94063 USA, a company organized under the laws of Delaware.

For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, I/We the Inventor(s) do hereby confirm and agree that, by operation of law and/or contract, and/or by the fulfillment of any and all legal requirements regarding the transfer of employee inventions in my/our country of employment, Codexis, Inc is the true and lawful owner of all right, title and interest in all inventions, discoveries, patents/utility models, applications, and rights described in paragraphs (1) through (8) below.

If, however, under the laws of any country, I/We the Inventor(s) nevertheless have any ownership right, title or interest in any of the items described herein (which I/We do not believe to be the case and make no claim in or to), for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, I/We the Inventor(s) do hereby sell, assign and transfer to Codexis, Inc and its successors, assigns and legal representatives (hereinafter referred to collectively as the "ASSIGNEE"), all of our right, title and interest for all countries of the world in and to

(1) all of our inventions and discoveries described in the provisional or non-provisional patent, utility model, or other application(s) entitled

**CHEMICAL PROCESS FOR PREPARING SPIROINDOLONES AND INTERMEDIATES
THEREOF**

and filed at the State Intellectual Property Office of the People's Republic of China as a PCT International Application on 23 March 2012 and accorded Application Number PCT/CN2012/000359 and/or filed as a PCT International Application on 22 March 2013 and accorded International Patent Application Number PCT/EP2013/056170.

(2) the application(s) identified in paragraph (1), and all applications claiming priority from such application(s), directly or indirectly, including all national stages of any international patent application(s);

(3) the right to file patent, utility model, or other applications on any invention or discovery disclosed in any of the applications identified in paragraphs (1) and (2), including the right to file such applications on said inventions and discoveries in the names of ASSIGNEE or their designees or in our/my name, at ASSIGNEE's election and in accordance with applicable law in all countries and regions; and the right to file all patent, utility model, or other applications in all countries and regions claiming the priority of any of the provisional or non-provisional application(s) identified in paragraphs (1) or (2);

(4) all rights to claim priority from any of the applications referred to in paragraphs (1), (2), and (3) or from any application from which any of the applications referred to in paragraphs (1), (2) and (3) claim priority in all countries and regions under the Paris Convention for the Protection of Industrial Property, the WTO GATT TRIPS Agreement, the Inter-American Convention relating to Inventions, Patents, Designs, and Industrial Models and all other international agreements to which the United States now is or hereafter becomes a signatory and, if the United States patent application is a provisional patent application, under 35 USC 119(e);

(5) all continuations, continuations-in-part, and divisionals of any United States patent application(s) or international patent application(s) designating the United States, any national stages of any international application(s), and any other patent application(s) described in paragraphs (1) through (4) hereof, including further continuations, continuations-in-part, and divisionals such as, but not limited to, continuations of continuations and continuations of divisionals;

(6) all patents, utility models, or other grants that issue from any of the applications referred to herein and all rights and remedies associated therewith including the right to sue for and recover past damages and to recover under 35 U.S.C. § 154 (d) or any other law permitting remedies for infringement prior to issuance of the patent;

(7) all registrations and confirmations of, and importation certificates based upon, one or more of said patents, utility models, or other grants, and applications for such registrations, confirmations and importation certificates and;

(8) all reissues, renewals and extensions of said patents, utility models, registrations, confirmations and importation certificates, reexamination certificates issued for said patents and supplementary protection certificates based upon said patents and applications for such reissues, renewals, extensions, reexamination certificates and supplementary protection certificates, the same to be held and enjoyed by said ASSIGNEE to the full ends of the terms for which said patents, utility models, registrations, confirmations, importation certificates, reexamination certificates, supplementary protection certificates, reissues, renewals and extensions may be granted, as fully and entirely as the same would have been held and enjoyed by me/us if this sale, assignment and transfer had not been made.

I/We the Inventor(s) hereby authorize ASSIGNEE and their representatives to insert in paragraph (1) of this Assignment the filing date(s) and Application Number(s) of said patent, utility model, or other application(s) when notified thereof.


I/We the Inventor(s) hereby covenant and agree that I/We will, at any time, (i) upon the request, but at the expense, of ASSIGNEE, execute and deliver all documents that may be necessary or desirable to perfect the title to the foregoing inventions and discoveries, applications, patents, utility models, registrations, confirmations, importation certificates, reissues, renewals, extensions, reexamination certificates, supplementary protection certificates, and applications within the scope of (7) and (8), in ASSIGNEE, including the execution and procurement of all further documents evidencing this sale, assignment and transfer as may be necessary or desirable for recording the same in the patent office or other intellectual property office, agency or the like of any country or region, (ii) upon the request, but at the expense, of ASSIGNEE execute all additional applications within the scope of paragraphs (1) through (6) and all applications within the scope of (7) or (8), and (iii) make all rightful oaths and declarations and do all lawful acts requisite for procuring the same or for aiding therein, without further compensation, but at the expense of ASSIGNEE.

Should any provision of this Assignment be deemed invalid or unenforceable by reason of any law, statute, regulation or judgment, existing now or in the future in any jurisdiction, such provision shall be modified in such jurisdiction so as to nearly approximate the intent of the Parties. If this cannot be done, such invalid or unenforceable provision shall be divisible and be deleted in any such jurisdiction, and all other provisions shall remain in full force and effect. The modification or deletion of any provision in one jurisdiction shall have no effect on this Assignment in any other jurisdiction.

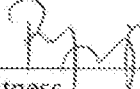
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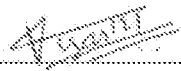
Executed this 07 day of APR 2014



L.S.
Michael CROWE



Witness
Print Name: ANGELA NG



Witness
Print Name: Val Kapse

Executed this _____ day of _____ 2014

L.S.
Jovana NAZOR

Witness
Print Name:

Witness
Print Name:

Executed this _____ day of _____, 2014

L.S.
Derek SMITH

Witness
Print Name:

Witness
Print Name:

Executed this _____ day of _____, 2014

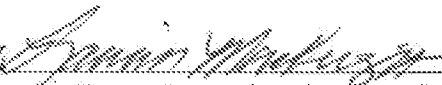
L.S.
Shiwei SONG

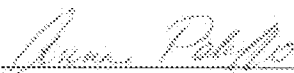
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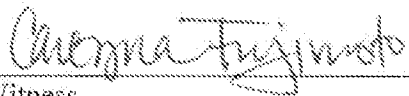
Witness
Print Name:

Executed this 9th day of April 2014

Acceptance of Company
Codexis, Inc.

BY  L.S.
Kamrin Macknight
Senior Director of Intellectual Property


Witness
Print Name: Anna Pelitto


Witness
Print Name: Careyna Fujimoto

ASSIGNMENT

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the United Kingdom 200 Penobscot Drive
Redwood City, California 94063
US

2. Jovana NAZOR citizen of Croatia c/o Codexis, Inc.
200 Penobscot Drive
Redwood City, California 94063
US

3. Derek SMITH citizen of the c/o Codexis, Inc.
United Kingdom 200 Penobscot Drive
Redwood City, California 94063
US

4. Shiwei SONG citizen of China c/o Codexis, Inc.
200 Penobscot Drive
Redwood City, California 94063
US

(hereinafter "Inventor(s)"), and **Codexis, Inc., 200 Penobscot Drive, Redwood City, California 94063 USA**, a company organized under the laws of Delaware.

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If, however, under the laws of any country, I/We the Inventor(s) nevertheless have any ownership right, title or interest in any of the items described herein (which I/We do not believe to be the case and make no claim in or to), for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, I/We the Inventor(s) do hereby sell, assign and transfer to **Codexis, Inc** and its successors, assigns and legal representatives (hereinafter referred to collectively as the "ASSIGNEE"), all of our right, title and interest for all countries of the world in and to

(1) all of our inventions and discoveries described in the provisional or non-provisional patent, utility model, or other application(s) entitled

**CHEMICAL PROCESS FOR PREPARING SPIROINDOLONES AND INTERMEDIATES
THEREOF**

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This Assignment shall be governed by the laws of California.

This Assignment is effective as from the earliest priority date as stated above.

Executed this _____ day of _____ 2014

L.S.
Michael CROWE

Witness
Print Name:

Witness
Print Name:

Executed this 16 day of January 2014

Jovana Nazor

L.S.
Jovana NAZOR

Carolina Fujimoto

Witness
Print Name: Carolina Fujimoto

Kamen Mackintosh

Witness
Print Name: Kamen Mackintosh

Executed this _____ day of _____ 2014

L.S.

Derek SMITH

Witness

Print Name:

Witness

Print Name:

Executed this _____ day of _____ 2014

L.S.

Shiwei SONG

Witness

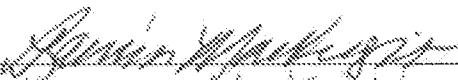
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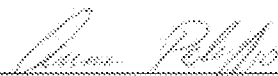
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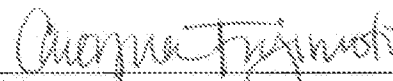
Print Name:

Executed this 9th day of April 2014

Acceptance of Company
Codexis, Inc.

BY  L.S.
Karmim Macknight
Senior Director, Intellectual Property


Witness
Print Name: Anna Pellico


Witness
Print Name: Careyna Fujimoto

ASSIGNMENT

This Assignment Agreement is entered into by and between

1. Michael CROWE citizen of c/o Codexis, Inc.
the United Kingdom 200 Penobscot Drive
Redwood City, California 94063
US

2. Jovana NAZOR citizen of Croatia c/o Codexis, Inc.
200 Penobscot Drive
Redwood City, California 94063
US

3. Derek SMITH citizen of the c/o Codexis, Inc.
United Kingdom 200 Penobscot Drive
Redwood City, California 94063
US

4. Shiwei SONG citizen of China c/o Codexis, Inc.
200 Penobscot Drive
Redwood City, California 94063
US

(hereinafter "Inventor(s)"), and Codexis, Inc., 200 Penobscot Drive, Redwood City, California 94063 USA, a company organized under the laws of Delaware.

For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, I/We the Inventor(s) do hereby confirm and agree that, by operation of law and/or contract, and/or by the fulfillment of any and all legal requirements regarding the transfer of employee inventions in my/our country of employment, Codexis, Inc is the true and lawful owner of all right, title and interest in all inventions, discoveries, patents/utility models, applications, and rights described in paragraphs (1) through (8) below.

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CHEMICAL PROCESS FOR PREPARING SPIROINDOLONES AND INTERMEDIATES THEREOF

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Executed this ____ day of _____ 2014

L.S.
Michael CROWE

Witness
Print Name:

Witness
Print Name:

Executed this ____ day of _____ 2014

L.S.
Jovana NAZOR

Witness
Print Name:

Witness
Print Name:

Executed this 3 day of FEBRUARY 2014

D S D L.S.
Derek SMITH

HU
Witness

Print Name: HU Zhongqiao

se
Witness

Print Name: Sanyan Luban

Executed this _____ day of _____ 2014

L.S.
Shiwei SONG

Witness
Print Name:

Witness
Print Name:

Executed this 9th day of April 2014

Acceptance of Company
Codexis, Inc.

BY [Signature] L.S.
Kamrin Mackintosh
Senior Director, Intellectual Property

[Signature]
Witness
Print Name: Anna Polillo

[Signature]
Witness
Print Name: Careyna Fujimoto

ASSIGNMENT

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(hereinafter "Inventor(s)"), and **Codexis, Inc., 200 Penobscot Drive, Redwood City, California 94063 USA**, a company organized under the laws of Delaware.

For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, I/We the Inventor(s) do hereby confirm and agree that, by operation of law and/or contract, and/or by the fulfillment of any and all legal requirements regarding the transfer of employee inventions in my/our country of employment, **Codexis, Inc** is the true and lawful owner of all right, title and interest in all inventions, discoveries, patents/utility models, applications, and rights described in paragraphs (1) through (8) below.

If, however, under the laws of any country, I/We the Inventor(s) nevertheless have any ownership right, title or interest in any of the items described herein (which I/We do not believe to be the case and make no claim in or to), for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, I/We the Inventor(s) do hereby sell, assign and transfer to **Codexis, Inc** and its successors, assigns and legal representatives (hereinafter referred to collectively as the "ASSIGNEE"), all of our right, title and interest for all countries of the world in and to

(1) all of our inventions and discoveries described in the provisional or non-provisional patent, utility model, or other application(s) entitled

**CHEMICAL PROCESS FOR PREPARING SPIROINDOLONES AND INTERMEDIATES
THEREOF**

and filed at the State Intellectual Property Office of the People's Republic of China as a PCT International Application on 23 March 2012 and accorded Application Number PCT/CN2012/000359 and/or filed as a PCT International Application on 22 March 2013 and accorded International Patent Application Number PCT/EP2013/056170.

(2) the application(s) identified in paragraph (1), and all applications claiming priority from such application(s), directly or indirectly, including all national stages of any international patent application(s);

(3) the right to file patent, utility model, or other applications on any invention or discovery disclosed in any of the applications identified in paragraphs (1) and (2), including the right to file such applications on said inventions and discoveries in the names of ASSIGNEE or their designees or in our/my name, at ASSIGNEE's election and in accordance with applicable law in all countries and regions; and the right to file all patent, utility model, or other applications in all countries and regions claiming the priority of any of the provisional or non-provisional application(s) identified in paragraphs (1) or (2);

(4) all rights to claim priority from any of the applications referred to in paragraphs (1), (2), and (3) or from any application from which any of the applications referred to in paragraphs (1), (2) and (3) claim priority in all countries and regions under the Paris Convention for the Protection of Industrial Property, the WTO GATT TRIPS Agreement, the Inter-American Convention relating to Inventions, Patents, Designs, and Industrial Models and all other international agreements to which the United States now is or hereafter becomes a signatory and, if the United States patent application is a provisional patent application, under 35 USC 119(e);

(5) all continuations, continuations-in-part, and divisionals of any United States patent application(s) or international patent application(s) designating the United States, any national stages of any international application(s), and any other patent application(s) described in paragraphs (1) through (4) hereof, including further continuations, continuations-in-part, and divisionals such as, but not limited to, continuations of continuations and continuations of divisionals;

(6) all patents, utility models, or other grants that issue from any of the applications referred to herein and all rights and remedies associated therewith including the right to sue for and recover past damages and to recover under 35 U.S.C. § 154 (d) or any other law permitting remedies for infringement prior to issuance of the patent;

(7) all registrations and confirmations of, and importation certificates based upon, one or more of said patents, utility models, or other grants, and applications for such registrations, confirmations and importation certificates and;

This Assignment is effective as from the earliest priority date as stated above.

Executed this _____ day of _____ 2014.

L.S.
Michael CROWE

Witness
Print Name:

Witness
Print Name:

Executed this _____ day of _____ 2014.

L.S.
Jovana NAZOR

Witness
Print Name:

Witness
Print Name:

(8) all reissues, renewals and extensions of said patents, utility models, registrations, confirmations and importation certificates, reexamination certificates issued for said patents and supplementary protection certificates based upon said patents and applications for such reissues, renewals, extensions, reexamination certificates and supplementary protection certificates, the same to be held and enjoyed by said ASSIGNEE to the full ends of the terms for which said patents, utility models, registrations, confirmations, importation certificates, reexamination certificates, supplementary protection certificates, reissues, renewals and extensions may be granted, as fully and entirely as the same would have been held and enjoyed by me/us if this sale, assignment and transfer had not been made.

I/We the Inventor(s) hereby authorize ASSIGNEE and their representatives to insert in paragraph (1) of this Assignment the filing date(s) and Application Number(s) of said patent, utility model, or other application(s) when notified thereof.

I/We the Inventor(s) hereby covenant and agree that I/We will, at any time, (i) upon the request, but at the expense, of ASSIGNEE, execute and deliver all documents that may be necessary or desirable to perfect the title to the foregoing inventions and discoveries, applications, patents, utility models, registrations, confirmations, importation certificates, reissues, renewals, extensions, reexamination certificates, supplementary protection certificates, and applications within the scope of (7) and (8), in ASSIGNEE, including the execution and procurement of all further documents evidencing this sale, assignment and transfer as may be necessary or desirable for recording the same in the patent office or other intellectual property office, agency or the like of any country or region, (ii) upon the request, but at the expense, of ASSIGNEE execute all additional applications within the scope of paragraphs (1) through (6) and all applications within the scope of (7) or (8), and (iii) make all rightful oaths and declarations and do all lawful acts requisite for procuring the same or for aiding therein, without further compensation, but at the expense of ASSIGNEE.

Should any provision of this Assignment be deemed invalid or unenforceable by reason of any law, statute, regulation or judgment, existing now or in the future in any jurisdiction, such provision shall be modified in such jurisdiction so as to nearly approximate the intent of the Parties. If this cannot be done, such invalid or unenforceable provision shall be divisible and be deleted in any such jurisdiction, and all other provisions shall remain in full force and effect. The modification or deletion of any provision in one jurisdiction shall have no effect on this Assignment in any other jurisdiction.

This Assignment shall be governed by the laws of California.

Executed this _____ day of _____ 2014

_____ L.S.

Derek SMITH

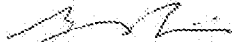
Witness

Print Name:

Witness

Print Name:

Executed this 3 day of February 2014



_____ L.S.

Shiwei SONG

CHANG JIE

Witness

Print Name: *CHANG JIE*


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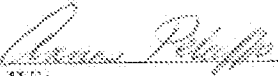
Witness *Yoon Yin Kim*

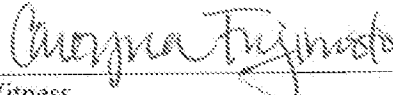
Print Name:

Executed this 9th day of April 2014

Acceptance of Company
Codexis, Inc.

BY  L.S.
Kamrin Macknight
Senior Director, Intellectual Property


Witness
Print Name: Anna Peluffo


Witness
Print Name: Careyna Frijmest