

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT3238746

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
	Name	Execution Date
	ROCHE R&D CENTER (CHINA) LTD.	05/05/2014
RECEIVING PARTY DATA		
Name:	F. HOFFMANN-LA ROCHE AG	
Street Address:	GRENZACHERSTRASSE 124	
City:	BASEL	
State/Country:	SWITZERLAND	
Postal Code:	4070	
PROPERTY NUMBERS Total: 1		
	Property Type	Number
	Application Number:	14610454
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NAME OF SUBMITTER:	TAMARA KALE	
SIGNATURE:	/TAMARA KALE/	
DATE SIGNED:	02/24/2015	
Total Attachments: 6		
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31986

→FHLR

公 证 书

中华人民共和国上海市东方公证处

PATENT

REEL: 035015 FRAME: 0876

Case No. 31986

TO BE NOTARIZED

ASSIGNMENT AGREEMENT

Roche R&D Center (China) Ltd. ("ASSIGNOR") a corporation duly organized under the laws of the People's Republic of China and having its principal place of business at Building 5, No. 720, Cailun Road, Shanghai, 201203, China

acknowledges the previous transfer to

F. Hoffmann-La Roche AG ("ASSIGNEE") a corporation duly organized under the laws of Switzerland, and having its principal place of business at 124 Grenzacherstrasse, CH-4070 Basle, Switzerland

for good and valuable consideration paid to ASSIGNOR by ASSIGNEE, the receipt and sufficiency of which is hereby acknowledged, of all right, title, and interest in, to, and deriving from the invention(s) disclosed in the patent application(s) set forth below for all countries of the world by operation of law, contract, or otherwise, and any Letters Patent which may hereafter be granted on the same in all countries of the world including any application claiming priority, divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, reexaminations, prolongations or extensions thereof.

As far as the right, title, and interest of ASSIGNOR in, to, and deriving from the invention(s) disclosed in the patent application(s) set forth below may not have been transferred, for good and valuable consideration paid to ASSIGNOR by ASSIGNEE, the receipt and sufficiency of which is hereby acknowledged, ASSIGNOR hereby assigns, sells and transfers to ASSIGNEE, and to ASSIGNEE'S successors and assigns, for all countries of the world all of ASSIGNOR'S right, title and interest in, to, and deriving from the invention(s) described in the patent application(s) listed below, including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, reexaminations, prolongations or extensions thereof, or other patent applications claiming the benefit of the filing date of the following patent application(s):

Case No.

31986

Country
PCT

Filing Date

30 January 2014

Serial No.

PCT/CN2014/071854

entitled

NOVEL DIHYDROQUINOLIZINONES FOR THE TREATMENT AND PROPHYLAXIS OF HEPATITIS B VIRUS INFECTION

ASSIGNEE, by virtue of this Assignment, shall have the right to file and own patent applications that claim priority to and are based in whole or in part on the patent application(s) cited above in all countries of the world and to own Letters Patents that issue thereon. Accordingly, ASSIGNOR hereby authorizes and requests the patent offices to issue any Letters Patent which may issue for such patent applications, including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, reexaminations, prolongations or extensions thereof, to ASSIGNEE, its successors and assigns.

ASSIGNOR does hereby covenant and agree with ASSIGNEE, its successors and assigns, that ASSIGNOR will not execute any writing or do any act conflicting with this assignment, and ASSIGNOR further agrees that he will, without charge to said ASSIGNEE, but at ASSIGNEE'S expense, cooperate with ASSIGNEE in the prosecution of said Letters Patent and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as ASSIGNEE lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said ASSIGNEE, or ASSIGNEE'S successors and assigns.

PATENT

REEL: 035015 FRAME: 0877

Case No. 31986

TO BE NOTARIZED

This agreement shall be governed and construed in accordance with substantive laws of Switzerland, with the exclusion of the Vienna Convention on the International Sale of Goods dated April 11, 1980. The competent courts of Basel City, Switzerland shall have exclusive jurisdiction.

ASSIGNOR

Roche R&D Center (China) Ltd.

Shanghai 5/5/2014
Place, Date

[Signature]

ASSIGNEE

F. Hoffmann-La Roche AG

Basel July 3, 2014
Place, Date

[Signature] [Signature]
Antonio Natoli Susanne Amann
Holder of procuration Mandatory

PATENT

REEL: 035015 FRAME: 0878

公 证 书

(2014)沪东证外字第 30972 号

申请人: STELLA XIAOXING XU, 女, 一九七〇年四月二十八日出生
美国护照号码: 488203880

公证事项: 签名

兹证明 STELLA XIAOXING XU 于二〇一四年五月五日
在上海市, 在本处公证员的面前, 在前面的外文文件上
签名。

中华人民共和国上海市东方公证处

公 证 员

沈宇明



1143469885

Translation

NOTARIAL CERTIFICATE

(2014)H.D. Z.W.Z.No.30972

Applicant:

STELLA XIAOXING XU, female, born on April 28, 1970

American Passport No.: 488203880

Notarized Matter: Signature

This is to certify that STELLA XIAOXING XU affixed signature to the foregoing foreign language document before the notary public in Shanghai on May 5, 2014.

SHEN Yuming (Seal)

Notary Public

The People's Republic of China

Shanghai Oriental Notary Public Office

(Seal)

June 12, 2014

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Legalization

The undersigned Notary Public of the Canton of Basel-Stadt (Switzerland), Dr. Christoph Nertz, herewith legalizes the foregoing signature of

F. Hoffmann-La Roche AG, a stock company with legal domicile in Basel (Switzerland), rendered by

Mister Antonio Natoli, citizen of and residing in Basel (Switzerland), and

Miss Susanne Amann, German citizen, residing in Heitersheim (Germany),

both duly entitled to sign documents wherein property of the company is alienated.

Signers and signatures personally known.

B a s e l (Switzerland), this 9th (ninth) day of July 2014 (two thousand and fourteen).



BV 939/2014