

## PATENT ASSIGNMENT COVER SHEET

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<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
Xianming Jin	09/14/2010
Daniel Poon	09/14/2010
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	NOVARTIS AG
<b>Street Address:</b>	LICHTSTRASSE 35
<b>City:</b>	BASEL
<b>State/Country:</b>	SWITZERLAND
<b>Postal Code:</b>	CH-4056
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	13931111
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<b>ATTORNEY DOCKET NUMBER:</b>	41357-0007002
<b>NAME OF SUBMITTER:</b>	JILL A. WRIGHT
<b>SIGNATURE:</b>	/Jill A. Wright/
<b>DATE SIGNED:</b>	09/10/2015
<b>Total Attachments: 5</b>	
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(joint)

Patent Case PAT053758-WO-PCT

## ASSIGNMENT

For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, we

(1) Xianming Jin and (2) Daniel Poon,

respectively residing at

(1) 3516 Sleeping Meadow Way, San Ramon California, 94582 USA

(2) 54 Lake Avenue, Piedmont, California, 94611, USA

do hereby sell, assign and transfer to **Novartis AG**, a company organized under the laws of the Swiss Confederation, of Lichtstrasse 35, 4056 Basel, Switzerland, (hereinafter referred to as the "**ASSIGNEE**") and its successors, assigns and legal representatives, all of my right, title and interest for all countries of the world in and to (1) all of my inventions and discoveries described in the patent application(s) titled

## COMPOUNDS AND COMPOSITIONS AS PROTEIN KINASE INHIBITORS

and filed in the United States Patent and Trademark Office on August 27, 2010 and accorded Application Number 12/870,130\* and/or filed in the RO/US on August 27, 2010 and accorded International Patent Application Number PCT/US2010/046930\*, (2) the patent application(s) identified in (1), (3) all national stages of any international patent application identified in (1), (4) all other patent applications in all countries and regions claiming the priority of the provisional or non-provisional patent applications filed in the United States Patent and Trademark Office on August 28, 2009 and accorded Application Number 61/238,073 and on March 11, 2010 and accorded Application Number 61/313,039 (5) for all patent applications, all rights of priority based upon the United States patent application identified in (4) in all countries and regions under the Paris Convention for the Protection of Industrial Property, 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 identified in (4) is a provisional patent application, under 35 USC 119(e) (including the right to file patent applications on said inventions and discoveries in the names of **ASSIGNEE** or their designees or in our names, at their election and in accordance with applicable law in all countries and regions), (6) all continuations and divisions of any United States patent application or international patent application designating the United States identified in (1), any national stages of any international application identified in (1) and any patent applications within the scope of (4) (including further continuations and divisions such as, but not limited to, continuations of continuations and continuations of divisions), ((2)-(4) and (6) hereinafter referred to collectively as "patent applications"), (7) all patents that are granted on any of said patent applications, (8) all registrations and confirmations of, and importation certificates based upon, one or more of said patents and applications for such registrations, confirmations and importation certificates and (9) all reissues, renewals and extensions of said patents, 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** and their successors, assigns and legal representatives to the full ends of the terms for which said patents, 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 us if this sale, assignment and transfer had not been made.

\*We hereby authorize **ASSIGNEE** and their representatives to insert in this Assignment the filing date(s) and Application Number(s) of said patent application(s) when notified thereof.

And we hereby covenant and agree that we will, at any time, (i) upon the request, but at the expense, of **ASSIGNEE** or their successors, assigns or legal representatives execute and deliver all documents that may be necessary or desirable to perfect the title to the foregoing inventions and discoveries, patent applications, patents, registrations, confirmations, importation certificates, reissues, renewals, extensions, reexamination

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certificates, supplementary protection certificates and applications within the scope of (8) and (9) in **ASSIGNEE** or their successors, assigns or legal representatives, 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** or their successors, assigns or legal representatives execute all additional patent applications within the scope of (3), (4) and (6) and all applications within the scope of (8) or (9) 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** or their successors, assigns or legal representatives.

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

Executed this 14th day of September, 2010.

  
\_\_\_\_\_  
Xianming Jin L.S.

**ACKNOWLEDGEMENT**

State of California                    )  
  ) s.s.:  
County of                                )

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary Public, personally appeared **Xianming Jin** 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/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their 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.

Signature \_\_\_\_\_ (Seal)  
Notary Public

Executed this 14th day of September 2010.

  
\_\_\_\_\_  
Daniel Poon L.S.

**ACKNOWLEDGEMENT**

State of California                    )  
  ) s.s.:  
County of                                )

On \_\_\_\_\_ before me, \_\_\_\_\_, Notary Public, personally appeared **Daniel Poon** 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/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their 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.

Signature \_\_\_\_\_ (Seal)  
Notary Public

**ACCEPTANCE OF ASSIGNMENT**

With reference to the Assignment to **NOVARTIS AG** of an invention entitled **COMPOUNDS AND COMPOSITIONS AS PROTEIN KINASE INHIBITORS** signed by Xianming Jin, Daniel Poon; this will certify that **NOVARTIS AG** accepts such Assignment.

**NOVARTIS AG**

By :



Name :

Nafra Bates

Function :

Authorized Signatory

Date:

September 17, 2010

By :

Name :

\_\_\_\_\_

Function :

\_\_\_\_\_

Date:

\_\_\_\_\_

## ACKNOWLEDGMENT

State of California  
County of Alameda )

On September 14, 2010 before me, Lawanda Williams- Notary Public  
(insert name and title of the officer)

personally appeared Daniel Poon and Xiaming Jin,  
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/they executed the same in  
his/her/their authorized capacity(ies), and that by his/her/their 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.

Signature Lawanda Williams (Seal)

