

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT3651564

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
	Name	Execution Date
	ROGER L. MCBROOM	01/18/1989
RECEIVING PARTY DATA		
Name:	SYNGENTA PARTICIPATIONS AG	
Street Address:	SCHWARZWALDALLEE 215	
City:	BASEL	
State/Country:	SWITZERLAND	
Postal Code:	4058	
PROPERTY NUMBERS Total: 1		
	Property Type	Number
	Application Number:	14659526
CORRESPONDENCE DATA		
Fax Number:	(919)226-7458	
<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:	9192817445	
Email:	global.patents@syngenta.com	
Correspondent Name:	YOSHIMI D. BARRON	
Address Line 1:	3054 E. CORNWALLIS ROAD	
Address Line 4:	DURHAM, NORTH CAROLINA 27709	
ATTORNEY DOCKET NUMBER:	80712-US-REG-ORG-NAT-1	
NAME OF SUBMITTER:	MELISSA HARDY	
SIGNATURE:	/MELISSA HARDY/	
DATE SIGNED:	12/10/2015	
Total Attachments: 10		
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: McBroom et al.

GROUP ART UNIT: 1662

SERIAL NO.: 14/659,526

CONFIRMATION NO: 9314

FILING DATE: March 16, 2015

EXAMINER:

TITLE: SOYBEAN CULTIVAR SJ1213512

Documentary Evidence of Ownership under 37 CFR 1.46(b)

DATE: December 10, 2015

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The above-referenced application under 35 U.S.C. 111 was made by the obligated assignee, Syngenta Participations AG. One of the inventors, Roger L. McBroom is deceased. In lieu of his signature, an employee agreement is provided as documentary evidence of ownership, in accordance with 37 CFR 1.46(b) (1). Northrup King Co. was an entity which became a subsidiary of Syngenta in 1997. Novartis Seeds is also a predecessor of Syngenta. This documentation establishes that Syngenta Participations, AG, is the obligated assignee of the above-referenced application.

The Commissioner is hereby authorized to charge any fees deemed necessary, or credit any overpayment to **Deposit Account No. 501744**.

If the Examiner or Office has any questions relating to this application, please contact the undersigned agent.

Respectfully submitted by,

/Yoshimi D. Barron/

BARRON, Yoshimi

Agent for Applicants

Reg. No. 69,998

Phone: 919-281-7445

Facsimile: 919-226-7458

CUSTOMER NO. 22847



INTRA COMPANY

January 16, 1989

To: Roger L. McBroom
St. Joseph, IL

Re: EMPLOYEE CONFIDENTIAL INFORMATION AND PATENT AGREEMENT

We have felt for some time now that with the increased sophistication of our research activities and with other changes going on in the industry that we needed to broaden our employee confidential information arrangement. We have reviewed this and feel that the attached form "Employee Confidential Information and Patent Agreement" is more appropriate for today's business. This form is being sent to all regular employees in Research and in certain related areas.

Please read the attached form and

1. sign it in the presence of a witness (any other employee).
2. The witness should then also sign it on the designated line.
3. Send the signed form to your program director (breeding and operations divisions) or department head (Tissue & Cell Biology, Molecular Genetics, Quantitative Genetics) by February 1, 1989 for signature on the line marked Department Head. (Directors or department heads who are also witnesses should sign the form in both places.)
4. Directors/department heads, will please forward all completed forms to Emily Lanin by February 15, 1989.

If you have any questions regarding the form, please feel free to contact your director or department head, Emily, or me.

Thank you for your cooperation in this matter.

ROBERT W. ROMIG
Vice President,
Research

RECEIVED /A2 I 8 1989

NORTHROP KING CO.

EMPLOYEE CONFIDENTIAL INFORMATION AND PATENT AGREEMENT

Employee: Roger L. McBroom Location: St. Joseph, IL

This is an agreement between Northrup King Co. and the above named employee:

In consideration of my employment or continuance of my employment by Northrup King Co. or by one of its affiliated companies ("NK"), and other good and valuable consideration specified herein, it is hereby agreed as follows:

1. I acknowledge that NK has explained to me the reasons for including all affiliated companies in this agreement: (a) I may have occasion to confer with representatives or may visit plants or laboratories of one or more of the companies other than the company which is specifically my employer, (b) I may receive or develop technical information or data in the course of my employment, relating to the business of one or more of the companies other than my employer, as a result of which I may make or conceive inventions or improvements relating to the business of one or more of the companies other than my employer, or (c) I may transfer from one company to another within the group comprising the companies.

2. I will, during the period of my employment, and thereafter, hold in the strictest confidence, and not disclose to any person, firm, or corporation, without the expressed authorization, in writing, of NK or by established NK procedures, any information, knowledge, data, or property relating to NK's business learned or obtained in any way during the course of employment, other than material properly in the public domain, including, but not limited to, information, knowledge, data or property concerning production or conditioning techniques, processes, formulae, development or experimental work, work in process, purchasing, finances, data processing, engineering, marketing, merchandising, selling, trade secret, or any secret or confidential matter relating to the products, sales, or business of NK ("Proprietary Rights"), except as such disclosure or use may be required in connection with my work for NK.

3. I will disclose promptly in writing to NK, or to such person as NK may designate, all inventions, discoveries and improvements made or conceived by me, whether or not patentable, either solely or in collaboration with others, during my employment by NK, whether or not during regular working hours, and relating to the actual or anticipated business or activities of NK, or related to its actual or anticipated Research and Development, or suggested by or resulting from any assigned task or work performed for or on behalf of NK, and will keep adequate

records pertaining to the same. I will disclose promptly in writing to NK or to such person as NK may designate, all inventions and information made or conceived by me, whether or not patentable, either solely or in collaboration with others, during or after the term of my employment by NK, whether or not during regular working hours, if such invention or improvement is based on secret or confidential ideas or information developed by me for NK, or obtained by me while in NK's employ, from NK or its consultants, and will keep adequate records pertaining to the same.

4. I will, at the request and expense of NK, make, execute and deliver all application papers, assignments, or instruments, and perform or cause to be performed such other lawful acts as NK may deem desirable or necessary in protecting NK's Proprietary Rights, and assist and cooperate with NK or its representative in any controversy or legal proceedings relating to said Proprietary Rights.

5. All contributions pertaining to Proprietary Rights made or conceived by me, either solely or in collaboration with others, during my employment by NK, shall become and remain the property of NK, its successors and assigns, unless expressly released by NK, as hereinafter provided, and shall be subject to NK's policies regarding Proprietary Rights. All contributions pertaining to Proprietary Rights made or conceived by me, either solely or in collaboration with others, during and after my employment by NK, shall become and remain the property of NK, its successors and assigns, if such contribution is based on secret or confidential ideas or information developed by me for NK, or obtained by me while in NK's employ, from NK or its consultants, unless expressly released by NK as herein provided, and shall be subject to NK's policies regarding Proprietary Rights.

6. If I petition NK in writing to release any of its Proprietary Rights, which by this agreement are assigned to NK, NK will promptly consider and act on such petition, but is not obligated to release any of its rights.

7. I shall not disclose to NK any secret or confidential idea or information of a prior employer, except and only as may be authorized by such employer. In case of doubt with respect to my obligations toward a prior employer, I shall consult with such persons as NK may designate.

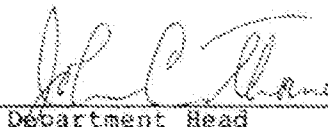
8. I warrant that the attached Exhibit A has been signed by me and comprises a complete description of all unpatented inventions and improvements which I made, invented, or conceived prior to entering the employ of NK, to which I now claim title, and which are to be specifically excluded from this agreement. If no such exhibit is attached, no such unpatented inventions or improvements are excluded from the provisions of this agreement.

9. Neither this agreement nor any benefits hereunder are assignable by me, but the terms and provisions hereof shall inure to the benefit of NK's successors and assigns.

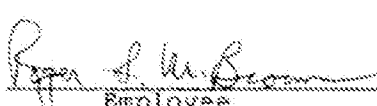
10. This agreement constitutes the entire agreement between NK and me with respect to the subject matter hereof save that it shall not in any way affect, supersede, or alter any previous written agreements in which NK has specifically released an invention or inventions to me, and that this agreement shall become effective and binding retroactively to the oldest date of continuous employment with NK.

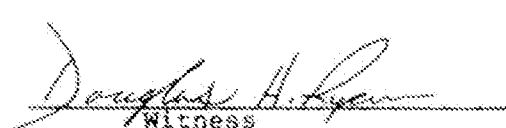
NORTHROP KING CO.

By:


Department Head

Date: 1-18-89


Employee


Witness

EMPLOYEE ACKNOWLEDGMENT FORM

By signing below, I acknowledge that I received and read the Novartis Employee Code of Conduct. I recognize that it is my duty to conduct myself in accordance with this Code of Conduct.

Roger L. McBroom
Employee Name (Print)

Roger L. McBroom
Employee Signature

1-24-98
Date

Human Resources Policy Guide Acknowledgement of Receipt

I understand that any employee handbooks, manuals or guides previously distributed are now specifically revoked and rescinded and the provisions therein are now null and void.

The Novartis Seeds, Inc. Human Resources Policy Guide is intended to provide general information to employees of Novartis Seeds, Inc. The policies and information described herein are not conditions of employment, and the language is not intended nor does it create a contract between Novartis Seeds, Inc. and any employee. Novartis Seeds, Inc. reserves the right to change, add to, eliminate, or modify any of the policies in this guide at its discretion, with or without notice. Employees may resign their employment at any time and for any reason, and Novartis Seeds, Inc. reserves the same right to discontinue an individual's employment at any time and for any reason. No one has the authority to alter this at-will employment relationship, except as may be provided to the contrary in a formal, written contract of employment signed both by the employee and an authorized officer of the Company.

I do hereby acknowledge I have received and reviewed the Novartis Seeds, Inc. - Field Crops NAFTA Human Resources Policy Guide dated June 1, 2000. I also acknowledge by signature below that I understand the terms stated above.

Roger L. M. Brown
Name

8-1-00
Date

Code of Conduct Compliance Certification

I certify that I have received and read a copy of the Syngenta Code of Conduct,
and that I agree to comply with its terms.

Roger L. McBroom
Signature

Roger L. McBroom
Printed Name

1-24-02
Date

Return to your local Human Resource department listed in the table below.

Business Unit	Return to	Location
Corn and Oilseeds	Karen Whaley	P.O. Box 959 Minneapolis, MN 55440
Flowers	Pat Willett	5300 Katrine Avenue Downers Grove, IL 60515-4095
Sugarbeets	Misrie Tuck	1020 Sugarmill Road Longmont, CO 80501
Vegetables	Larry Van Treeck	600 N. Armstrong Place Boise, ID 83704

Employee Certification
Syngenta Competition Law Guidelines and US Antitrust Law Guide

I have received and read the Syngenta Competition Law Guidelines and the US Antitrust Law Guide, and I agree to comply with these guidelines.

Roger L McBroon
Employee Name (Print)

Roger L McBroon
Employee Signature

10/3/03
Date

Return to:
Karen Whaley
Syngenta Seeds, Inc.
7500 Olson Memorial Highway
Golden Valley, MN 55447

Apr-13-2006 07:21am From-SYNGENTA

0704837179

T-713 P 002/002 F-478



Employee Certification
Syngenta Competition Law Guidelines and US Antitrust Guide

I have received and read the Syngenta Competition Law Guidelines and the US Antitrust Law Guide, and I agree to comply with these guidelines.

Roger L. McBrean
Employee Name (Print)

Roger L. McBrean
Employee Signature

4-13-06
Date

Syngenta Seeds, Inc.
Human Resources Department

Revised 2-10-05