

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

EPAS ID: PAT3787034

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
HANS HILPERT	03/18/2014
SABINE KOLCZEWSKI	03/17/2014
ANJA LIMBERG	03/17/2014
ERIC PRINSEN	03/17/2014
CLAUS RIEMER	03/17/2014
THEODOR STOLL	03/17/2014
BAVANI G. SHANKAR	03/20/2014
DANIELA BRUNNER	06/09/2014
JESSICA MALBERG	06/09/2014
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:	14971120
CORRESPONDENCE DATA	
Fax Number:	(650)952-9881
<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:	(650) 467-2780
Email:	joanlm@gene.com, docketing-d@gene.com
Correspondent Name:	BRIAN L. BUCKWALTER
Address Line 1:	1 DNA WAY
Address Line 4:	SOUTH SAN FRANCISCO, CALIFORNIA 94080
ATTORNEY DOCKET NUMBER:	P31551-US
NAME OF SUBMITTER:	BRIAN L. BUCKWALTER

SIGNATURE:	/Brian L. Buckwalter/
DATE SIGNED:	03/16/2016
Total Attachments: 12 source=31551_5 General Assignments signed#page1.tif source=31551_5 General Assignments signed#page2.tif source=31551_5 General Assignments signed#page3.tif source=31551_5 General Assignments signed#page4.tif source=31551_5 General Assignments signed#page5.tif source=31551_5 General Assignments signed#page6.tif source=31551_5 General Assignments signed#page7.tif source=31551_5 General Assignments signed#page8.tif source=31551_5 General Assignments signed#page9.tif source=31551_5 General Assignments signed#page10.tif source=31551_5 General Assignments signed#page11.tif source=31551_5 General Assignments signed#page12.tif	



Case No. 31551

ASSIGNMENT AGREEMENT

I/We, the undersigned

Inventor(s)

Hans Hilpert
Gustav Bay-Strasse 34
4142 Muenchenstein
Switzerland

Employed by:

F. Hoffmann-La Roche AG

hereinafter ASSIGNOR(S), herewith declare that I am inventor together with

Inventor(s)

BRUNNER, Daniela

MALBERG, Jessica

SHANKAR, Bavani G.

KOLCZEWSKI, Sabine

LIMBERG, Anja

PRINSSEN, Eric

RIEMER, Claus

STOLL, Theodor

Employed by:

PsychoGenics Inc.

PsychoGenics Inc.

PsychoGenics Inc.

F. Hoffmann-La Roche AG

F. Hoffmann-La Roche AG

F. Hoffmann-La Roche AG

F. Hoffmann-La Roche AG

F. Hoffmann-La Roche AG

hereinafter CO-INVENTOR(S)

of the invention entitled:

Indolin-2-one derivatives, substituted by heteroaryl groups

disclosed in Case No. 31551EP
priority filing date: June 19, 2013
priority filing number: 13172663.0

ASSIGNOR(S) acknowledge(s) the previous transfer to

F. Hoffmann-La Roche AG
Grenzacherstrasse 124
4070 Basel
Switzerland

hereinafter ASSIGNEE, of all right, title, and interest in, to, and deriving from the inventions disclosed in Roche Case No. 31551 EP set forth above by operation of law, contract, or otherwise.

ASSIGNEE by virtue of this assignment thereof shall have the exclusive right and is fully entitled to apply for, obtain, an own patents worldwide in its own name and at its own costs that claim priority to and are based in whole or in part on the priority application(s), to maintain any patent granted thereupon and to discontinue any patents or patent applications as it deems appropriate.

The assignment of the rights of the CO-INVENTOR(S) to the Applicant is subject to separate assignment agreement(s). ASSIGNOR(S) explicitly approve(s) that assignment(s).

Case No. 31551

ASSIGNEE and ASSIGNOR hereby acknowledge, confirm, and agree that ASSIGNOR has been fully and adequately compensated for all rights granted or assigned to ASSIGNEE hereunder.

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(S)

Basel, March 18, 2014

Hans Hilpert
Hans Hilpert

ASSIGNEE

F. Hoffmann-La Roche AG

March 31, 2014
Place, Date

Antonio Natoli
Holder of procuration

Petra Querfeld
Mandatory

TO BE NOTARIZED

Legalization

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

Mister Hans Hilpert, citizen of Zürich (Switzerland), residing in Münchenstein (Switzerland),

He certifies that the named person is in the employ of F. Hoffmann-La Roche AG, a stock company with legal domicile in Basel (Switzerland).

He also 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 Petra Querfeld, German citizen, residing in Steinen (Germany),

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

Signers and signatures personally known.

B a s e l (Switzerland), this 1st (first) day of April 2014 (two thousand and fourteen)



BV 477/2014

Case No. 31551

ASSIGNMENT AGREEMENT

I/We, the undersigned

Inventor(s)

KOLCZEWSKI, Sabine
Minna Vortisch Strasse 12d
D-79540 Loerrach, Germany

Employed by:

F. Hoffmann-La Roche AG

LIMBERG, Anja
Wettsteinallee 105
CH-4058 Basel, Switzerland

F. Hoffmann-La Roche AG

PRINSEN, Eric
2, rue des Eglantines
F-68500 Guebwiller, France

F. Hoffmann-La Roche AG

RIEMER, Claus
Dreikoenigstrasse 31
D-79102 Freiburg, Germany

F. Hoffmann-La Roche AG

STOLL, Theodor
Rottmannsbodenstrasse 6
CH-4102 Binningen, Switzerland

F. Hoffmann-La Roche AG

hereinafter ASSIGNOR(S) herewith declare that we are joint inventor(s) together with

Inventor(s)

BRUNNER, Daniela
MALBERG, Jessica
SHANKAR, Bavani G.

Employed by:

PsychoGenics Inc.
PsychoGenics Inc.
PsychoGenics Inc.

hereinafter CO-INVENTOR(S)

of the invention entitled:

Indolin-2-one derivatives, substituted by heteroaryl groups

for which (a) priority application(s) was (were) filed on behalf of

Applicant

F. Hoffmann-La Roche AG

with the

Patent Office

European Patent Office

as outlined below:

Case No.
31551 EP

Country
Europe

Filing Date
19 June 2013

Serial No.
13172663.0

TO BE NOTARIZED

PATENT
REEL: 038004 FRAME: 0514

Case No. 31551

As far as rights of the ASSIGNOR(S) in, to and deriving from the inventions disclosed in the patent application(s) set forth above has/have not been transferred to

F. Hoffmann-La Roche AG
Grenzacherstrasse 124
4070 Basel
Switzerland

hereinafter ASSIGNEE, by operations of law or otherwise, ASSIGNOR(S) herewith assign(s) to ASSIGNEE all their inventor's rights and the rights to claim priority. Such assignment is being made retroactively as per the date of conception of such inventions.

ASSIGNEE by virtue of this assignment thereof shall have the exclusive right and is fully entitled to claim priority of the priority application(s) set forth above, to apply for and obtain patents worldwide in its own name and at own costs based on this/these priority application(s), to maintain any patent granted thereupon and to discontinue any patents or patent applications as it deems appropriate.


The assignment of the rights of the CO-INVENTOR(S) to the ASSIGNEE is subject to a separate assignment agreement. ASSIGNOR(S) explicitly approve(s) that assignment.

ASSIGNEE and ASSIGNOR(S) hereby acknowledge, confirm and agree that ASSIGNOR(S) has/have been fully and adequately compensated for all rights granted or assigned to ASSIGNEE hereunder.

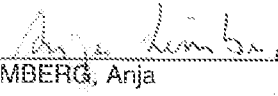
This agreement shall be governed and construed in accordance with substantive laws of Switzerland, with the exclusion of the Vienna Convention on the International Sale of Goods dated, April 11, 1980. The competent courts of Basel City, Switzerland shall have exclusive jurisdiction.

ASSIGNOR(S)

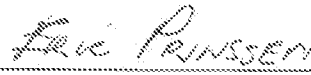
Basel March 17, 2014


KOLCZEWSKI, Sabine

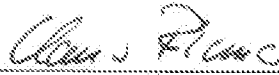
Basel March 17, 2014


LIMBERG, Anja

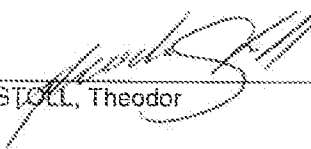
Basel March 17, 2014


PRINSSEN, Eric

Basel March 17, 2014


RIEMER, Claus

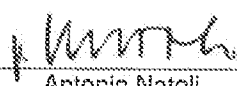
Basel March 17, 2014

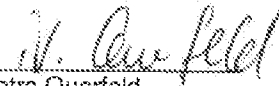

STOLL, Theodor

ASSIGNEE

F. Hoffmann-La Roche AG

Place, Date


Antonio Natoli
Holder of procuration


Petra Querfeld
Mandatory

TO BE NOTARIZED

PATENT
REEL: 038004 FRAME: 0515

Legalization

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

Miss **Sabine Kolczewski**, German citizen, residing in Lörrach (Germany),

Miss **Anja Limberg**, German citizen, residing in Basel (Switzerland),

Mister **Eric Prinssen**, Netherlands' citizen, residing in Guebwiller (France),

Mister **Dr. Claus Riemer**, German citizen, residing in Freiburg (Germany), and

Mister **Theodor Stoll**, citizen of Osterfingen (Switzerland), residing in Binningen (Switzerland).

He certifies that the named persons are in the employ of F. Hoffmann-La Roche AG, a stock company with legal domicile in Basel (Switzerland).

Legalization based on comparison with authentic signatures.

He also 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 **Petra Querfeld**, German citizen, residing in Steinen (Germany),

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

Signers and signatures personally known.

B a s e l (Switzerland), this 10th (tenth) day of April 2014 (two thousand and fourteen).



BV 538/2014

ASSIGNMENT AGREEMENT

I/We, the undersigned

Inventor(s)

Employed by:

BRUNNER, Daniela
c/o PsychoGenics Inc.
765 Old Saw Mill River Road
Tarrytown, New York 10591/ USA

PsychoGenics Inc.

MALBERG, Jessica
c/o PsychoGenics Inc.
765 Old Saw Mill River Road
Tarrytown, New York 10591/ USA

PsychoGenics Inc.

SHANKAR, Bavani G.
c/o PsychoGenics Inc.
765 Old Saw Mill River Road
Tarrytown, New York 10591/ USA

PsychoGenics Inc.

hereinafter ASSIGNOR(S) herewith declare that we are joint inventor(s) together with

Inventor(s)

Employed by:

KOLCZEWSKI, Sabine
LIMBERG, Anja
PRINSEN, Eric
RIEMER, Claus
STOLL, Theodor

F. Hoffmann-La Roche AG
F. Hoffmann-La Roche AG
F. Hoffmann-La Roche AG
F. Hoffmann-La Roche AG
F. Hoffmann-La Roche AG

hereinafter CO-INVENTOR(S)

of the invention entitled:

Indolin-2-one derivatives, substituted by heteroaryl groups

for which (a) priority application(s) was (were) filed on behalf of

Applicant

F. Hoffmann-La Roche AG

Patent Office

with the

European Patent Office

as outlined below:

Case No.	Country	Filing Date	Serial No.
31551 EP	Europe	19 June 2013	13172663.0

As far as rights of the ASSIGNOR(S) in, to and deriving from the inventions disclosed in the patent application(s) set forth above has/have not been transferred to

PsychoGenics Inc.
765 Old Saw Mill River Road
Tarrytown, New York 10591/ USA

hereinafter ASSIGNEE, by operations of law or otherwise, ASSIGNOR(S) herewith assign(s) to ASSIGNEE all their inventor's rights and the rights to claim priority. Such assignment is being made retroactively as per the date of conception of such inventions.

ASSIGNEE by virtue of this assignment thereof shall have the exclusive right and is fully entitled to claim priority of the priority application(s) set forth above, to transfer, to apply for and obtain patents

Case No. 31551

worldwide in its own name and at own costs based on this/these priority application(s), to maintain any patent granted thereupon and to discontinue any patents or patent applications as it deems appropriate.

The assignment of the rights of the CO-INVENTORS to the Applicant is subject to a separate assignment agreement. ASSIGNOR(S) explicitly approve(s) that assignment.

ASSIGNEE and ASSIGNOR(S) hereby acknowledge, confirm and agree that ASSIGNOR(S) have been fully and adequately compensated for all rights granted or assigned to ASSIGNEE hereunder.

ASSIGNOR(S)

Place, Date

BRUNNER, Daniela

Place, Date

MALBERG, Jessica

CAMBRIDGE MA MARCH 20, 2014

Place, Date

SHANKAR, Bavani G.

ASSIGNEE

PsychoGenics Inc.

Tarrytown, NY, USA 6/9/14

Place, Date

State of New York, County of Westchester
this instrument was acknowledged before
me on this 9th day of June, 2014 by
Bavani G. Shankar and Emer Leahy.

RAMONA A. EPSTEIN
NOTARY PUBLIC-STATE OF NEW YORK
No. 01EP6253057
Qualified in Dutchess County
My Commission Expires 12/19/15



PATENT

REEL: 038004 FRAME: 0518

Case No. 31551

ASSIGNMENT AGREEMENT

I/We, the undersigned

Inventor(s)

BRUNNER, Daniela
c/o PsychoGenics Inc.
765 Old Saw Mill River Road
Tarrytown, New York 10591/ USA

Employed by:

PsychoGenics Inc.

MALBERG, Jessica
c/o PsychoGenics Inc.
765 Old Saw Mill River Road
Tarrytown, New York 10591/ USA

PsychoGenics Inc.

SHANKAR, Bavani G.
c/o PsychoGenics Inc.
765 Old Saw Mill River Road
Tarrytown, New York 10591/ USA

PsychoGenics Inc.

hereinafter ASSIGNOR(S) herewith declare that we are joint inventor(s) together with

Inventor(s)

KOLCZEWSKI, Sabine
LIMBERG, Anja
PRINSEN, Eric
RIEMER, Claus
STOLL, Theodor

Employed by:

F. Hoffmann-La Roche AG
F. Hoffmann-La Roche AG
F. Hoffmann-La Roche AG
F. Hoffmann-La Roche AG
F. Hoffmann-La Roche AG

hereinafter CO-INVENTOR(S)

of the invention entitled:

Indolin-2-one derivatives, substituted by heteroaryl groups

for which (a) priority application(s) was (were) filed on behalf of

Applicant

F. Hoffmann-La Roche AG

Patent Office

with the

European Patent Office

as outlined below:

Case No.	Country	Filing Date	Serial No.
31551 EP	Europe	19 June 2013	13172663.0

As far as rights of the ASSIGNOR(S) in, to and deriving from the inventions disclosed in the patent application(s) set forth above has/have not been transferred to

PsychoGenics Inc.
765 Old Saw Mill River Road
Tarrytown, New York 10591/ USA

hereinafter ASSIGNEE, by operations of law or otherwise, ASSIGNOR(S) herewith assign(s) to ASSIGNEE all their inventor's rights and the rights to claim priority. Such assignment is being made retroactively as per the date of conception of such inventions.

ASSIGNEE by virtue of this assignment thereof shall have the exclusive right and is fully entitled to claim priority of the priority application(s) set forth above, to transfer, to apply for and obtain patents

PATENT

REEL: 038004 FRAME: 0519

Case No. 31551

worldwide in its own name and at own costs based on this/these priority application(s), to maintain any patent granted thereupon and to discontinue any patents or patent applications as it deems appropriate.

The assignment of the rights of the CO-INVENTORS to the Applicant is subject to a separate assignment agreement. ASSIGNOR(S) explicitly approve(s) that assignment.

ASSIGNEE and ASSIGNOR(S) hereby acknowledge, confirm and agree that ASSIGNOR(S) have been fully and adequately compensated for all rights granted or assigned to ASSIGNEE hereunder.

ASSIGNOR(S)

Tarrytown, NY, USA 6/9/14
Place, Date


BRUNNER, Daniela

Tarrytown, NY, USA 6/9/14
Place, Date


MALBERG, Jessica

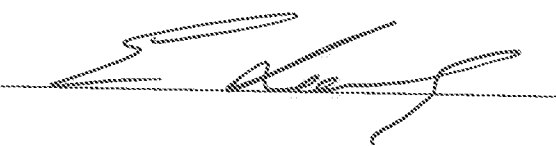
Place, Date

SHANKAR, Bavani G.

ASSIGNEE

PsychoGenics Inc.

Tarrytown, NY, USA 6/9/14
Place, Date



State of New York, County of Westchester
this instrument was acknowledged before
me on this 9th day of June, 2014 by
Daniela Brunner, Jessica Malberg and
Emer Leahy.

RAMONA A. EPSTEIN
NOTARY PUBLIC-STATE OF NEW YORK
No. 01EP6253057
Qualified in Dutchess County
My Commission Expires 12/19/15



Case No. 31551

ASSIGNMENT AGREEMENT

PsychoGenics Inc. (ASSIGNOR) a corporation duly organized under the laws of the States of New York and having its principal place of business at 765 Old Saw Mill River Road, Tarrytown, New York 10591, USA

hereby assigns to

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

for all countries of the world all our right, title and interest in and to the invention(s) described in the Patent Application(s) listed below

Case No.	Country	Filing Date	Serial No.
31551 EP	Europe	19 June 2013	13172663.0

entitled

Indolin-2-one derivatives, substituted by heteroaryl groups

as far as the rights of the ASSIGNOR(S) in, to and deriving from the invention(s) disclosed in the Patent Application(s) set forth above has/have not been transferred to ASSIGNEE by operations of law or otherwise.

ASSIGNOR(S) expressly assigns to ASSIGNEE the right to file Patent Applications that claim priority to the Patent Application(s) cited above for all countries of the world. ASSIGNOR(S) confirms that all of its rights in, to and deriving from the invention(s) set forth above have been duly obtained from the INVENTOR(s) as follows:

Inventor(s)	Date of Assignment	Assigned to
BRUNNER, Daniela	June 09, 2014	PsychoGenics Inc.
MALBERG, Jessica	June 09, 2014	PsychoGenics Inc.
SHANKAR, Bavani G.	March 20, 2014	PsychoGenics Inc.

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 shall have exclusive jurisdiction.

ASSIGNOR

PsychoGenics Inc.

Tarrytown, NY 7/9/14
Place, Date

[Signature]

ASSIGNEE

F. Hoffmann-La Roche AG

Basel 7/10/14
Place, Date

[Signature]
Andreas Diener
Holder of procuration

[Signature]
Petra Querfeld
Mandatory

State of New York
County of Westchester
The foregoing instrument was acknowledged before me this 9th day of July, 2014 by Emer Leachy, personally known to me.

TO BE NOTARIZED

RAMONA A. EPSTEIN
NOTARY PUBLIC-STATE OF NEW YORK
No. 01EP6253057
Qualified in Dutchess County
My Commission Expires 12/19/15

PATENT
REEL: 038004 FRAME: 0521

Legalization

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

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

Mister Andreas Diener, German citizen, residing in Rheinfelden (Germany), and

Miss Petra Querfeld, German citizen, residing in Steinen (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 23rd (twenty-third) day of July 2014 (two thousand and fourteen).



BV 974/2014

NOTARY PUBLIC STATE OF NEW YORK
No. 016633083
Qualified in Dutchess County
by Commission Expires 12/31/2016

RECORDED: 03/16/2016

PATENT
REEL: 038004 FRAME: 0522