

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT3794667

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT

**CONVEYING PARTY DATA**

Name	Execution Date
XUEFEI TAN	01/24/2014
YONGFU LIU	01/24/2014
MINGWEI ZHOU	01/24/2014
DONGBO LI	01/24/2014
WENMING CHEN	01/24/2014
JUN WU	01/24/2014
LISHA WANG	01/21/2014
ALEXANDER MAYWEG	01/21/2014
HANS P. MAERKI	01/21/2014
KURT AMREIN	01/21/2014
JOHANNES AEBI	01/21/2014
BENOIT HORNSPERGER	01/21/2014
BERND KUHN	01/21/2014
RAINER E. MARTIN	01/21/2014

**RECEIVING PARTY DATA**

<b>Name:</b>	F. Hoffmann-La Roche AG
<b>Street Address:</b>	Grenzacherstrasse 124
<b>City:</b>	Basel
<b>State/Country:</b>	SWITZERLAND
<b>Postal Code:</b>	4070

**PROPERTY NUMBERS Total: 1**

Property Type	Number
Application Number:	14947730

**CORRESPONDENCE DATA**

Fax Number: (650)952-9881

*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.*

Phone: (650) 225-8203

Email: joanlm@gene.com, docketing-d@gene.com

**Correspondent Name:** ROBERT C. HALL  
**Address Line 1:** 1 DNA WAY  
**Address Line 4:** SOUTH SAN FRANCISCO, CALIFORNIA 94080

<b>ATTORNEY DOCKET NUMBER:</b>	P31601-US
<b>NAME OF SUBMITTER:</b>	ROBERT C. HALL
<b>SIGNATURE:</b>	/Robert C. Hall/
<b>DATE SIGNED:</b>	03/22/2016

**Total Attachments: 22**

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31601

(4531)

# 公 证 书

中华人民共和国上海市东方公证处

PATENT

REEL: 038205 FRAME: 0298

Case No. 31601

## ASSIGNMENT AGREEMENT

I/We, the undersigned

### Inventor(s)

Xuefei Tan, scientist, a US citizen  
Room 101, No. 20, Lane 300 Jinxiu Road,  
Pudong, Shanghai 200135, China

Yongfu Liu, scientist, a Chinese citizen  
Room 303, No. 5, Lane 652 Kongjiang Road,  
Yangpu District, Shanghai 200093, China

Lisha Wang, scientist, a Chinese citizen  
Lane 1950 Siping Road, No. 20, Room 101,  
Shanghai 200433, China

Mingwei Zhou, scientist, a Chinese citizen  
Room 1505, Lane 3046, Chuan Bei Road,  
Shanghai 101210, China

Dongbo Li  
c/o Roche R&D Center (China) Ltd.  
Building 5, No. 720, Cailun Road  
Shanghai 201203, China

### Employed by:

Roche R&D Center (China) Ltd.

Roche R&D Center (China) Ltd.

Roche R&D Center (China) Ltd.

Roche R&D Center (China) Ltd.

Roche R&D Center (China) Ltd.

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

### Inventor(s)

Alexander V. Mayweg  
Hans P. Maerki  
Kurt Amrein  
Johannes Aebi  
Benoit Hornsperger  
Bernd Kuhn  
Rainer E. Martin  
Wenming Chen  
Jun Wu

### 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  
F. Hoffmann-La Roche AG  
F. Hoffmann-La Roche AG  
Shanghai Foreign Service Co., Ltd.  
Shanghai Foreign Service Co., Ltd.

hereinafter CO-INVENTOR(S)

of the invention entitled:

**New 3,4-dihydro-2H-isoquinoline-1-one and 2,3-dihydro-isoindol-1-one compounds**

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

### Applicant

F. Hoffmann-La Roche AG

with the

### Patent Office

State Intellectual Property Office of the  
People's Republic of China

as outlined below:

Case No.	Country	Filing Date	Serial No.
31601	PCT	May 27, 2013	PCT/CN2013/076276

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

F. Hoffmann-La Roche AG

Case No. 31601

Grenzacherstrasse 124  
4070 Basel  
Switzerland

hereinafter ASSIGNEE, of all right, title, and interest in, to, and deriving from the inventions disclosed in the priority application(s) 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 claim priority of the priority application(s) set forth above, to apply for, obtain, and 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).

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)**

Shanghai, China, Jan 24, 2014  
Place, Date

Xuefei Tan  
Xuefei Tan

Shanghai, China, Jan 24, 2014  
Place, Date

Yongfu Liu  
Yongfu Liu

Basel, Switzerland January 21, 2014  
Place, Date

Lisha Wang

Shanghai, China 2014 2/20  
Place, Date

Mingwei Zhou  
Mingwei Zhou

Shanghai, China Jan 24, 2014  
Place, Date

Dongbo Li  
Dongbo Li

**ASSIGNEE**

**F. Hoffmann-La Roche AG**

Basel, Switzerland, March 19, 2014  
Place, Date

Antonio Natoli  
Holder of procuration

Petra Querfeld  
Mandatory

TO BE NOTARIZE

# 公 证 书

(2014)沪东证外字第 4531 号

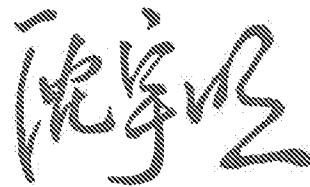
申请人：XUEFEI TAN，女，一九七二年四月十一日出生  
美国护照号码：443757793  
刘永福，男，一九七八年十二月一日出生  
公民身份号码：371082197812013634  
周明伟，男，一九七六年二月二十四日出生  
公民身份号码：332624197602243979  
Dongbo Li，男，一九七〇年七月二十六日出生  
瑞士护照号码：X0745019

公证事项：签名

兹证明 XUEFEI TAN、刘永福、周明伟、Dongbo Li  
于二〇一四年一月二十四日在上海市，在本公证员的面  
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



二〇一四年一月二十四日



149285024

PATENT  
REEL: 038205 FRAME: 0301

Translation

NOTARIAL CERTIFICATE

(2014)H.D. Z.W.Z.No.4531

Applicant:

XUEFEI TAN, female, born on April 11, 1972

American Passport No.: 443757793

LIU Yongfu, male, born on December 1, 1978

Citizen ID No.: 371082197812013634

ZHOU Mingwei, male, born on February 24, 1976

Citizen ID No.: 332624197602243979

Dongbo Li, male, born on July 26, 1970

Swiss Passport No.: X0745019

Notarized Matter: Signature

This is to certify that XUEFEI TAN, LIU Yongfu, ZHOU Mingwei, Dongbo Li affixed signatures to the foregoing foreign language document before the notary public in Shanghai on January 24, 2014.

SHEN Yuming (Seal)

Notary Public

The People's Republic of China

Shanghai Oriental Notary Public Office

(Seal)

February 24, 2014

149298671

**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 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.

Basel (Switzerland), this 19<sup>th</sup> (nineteenth) day of March 2014 (two thousand and fourteen)



A handwritten signature in cursive script, likely belonging to Dr. Christoph Nertz, the notary public mentioned in the text.

BV 410/2014



31601

(4533)

# 公 证 书

中华人民共和国上海市东方公证处

## ASSIGNMENT AGREEMENT

I/We, the undersigned

**Inventor(s)**

**Employed by:**

Wenming CHEN, scientist, a Chinese citizen,  
Room 102, Building No. 23, Lane 393 Dongjing  
Road, Pudong, Shanghai 201208, China

Shanghai Foreign Service Co., Ltd.

Jun WU, scientist, a Chinese citizen,  
c/o Roche R&D Center (China) Ltd.  
Building 5, No. 720, Cai Lun Road  
Shanghai 201203, China

Shanghai Foreign Service Co., Ltd.

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

**Inventor(s)**

**Employed by:**

Alexander V. Mayweg  
Hans P. Maerki  
Kurt Amrein  
Johannes Aebi  
Benoit Hornsperger  
Bernd Kuhn  
Rainer E. Martin  
Xuefei Tan  
Yongfu Liu  
Lisha Wang  
Mingwei Zhou  
Dongbo Li

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  
F. Hoffmann-La Roche AG  
F. Hoffmann-La Roche AG  
Roche R&D Center (China) Ltd.  
Roche R&D Center (China) Ltd.  
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Roche R&D Center (China) Ltd.  
Roche R&D Center (China) Ltd.

hereinafter CO-INVENTOR(S)

of the invention entitled:

**New 3,4-dihydro-2H-isoquinoline-1-one and 2,3-dihydro-isoindol-1-one compounds**

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

**Applicant**

F. Hoffmann-La Roche AG

**Patent Office**

with the

State Intellectual Property Office of the  
People's Republic of China

as outlined below:

Case No.	Country	Filing Date	Serial No.
31601	PCT	May 27, 2013	PCT/CN2013/076276

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

Roche R&D Center (China) Ltd.  
Building No. 5  
Lane 720 Cai Lun Road  
Shanghai 201203  
China

hereinafter ASSIGNEE, of all right, title, and interest in, to, and deriving from the inventions disclosed  
in the priority application(s) set forth above by operation of law, contract, or otherwise.

Case No. 31601

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

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.

**ASSIGNOR(S)**

Shanghai, China      Jan 24, 2014      Wenming CHEN  
Place, Date

Shanghai, China      Jan 24, 2014      Jun WU  
Place, Date

**ASSIGNEE**

Roche R&D Center (China) Ltd.

Shanghai, China      Jan 24, 2014  
Place, Date

TO BE NOTARIZED

公 证 书

(2014)沪东证外字第 4533 号

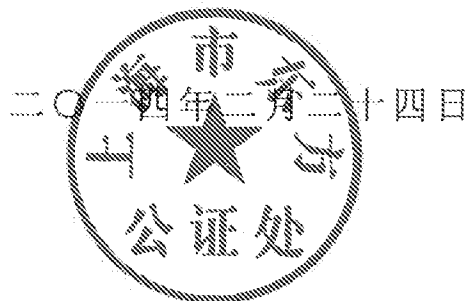
申请人：陈文明，男，一九八一年九月十三日出生  
公民身份号码：340721198109130912  
吴俊，男，一九八二年七月一日出生  
公民身份号码：43072419820701211X  
STELLA XIAOXING XU，女，一九七〇年四月二十八日出生  
美国护照号码：488203880

公证事项：签名

兹证明陈文明、吴俊、STELLA XIAOXING XU 于二〇一四年一月二十四日在上海市，在本公证员的面前，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



[4829563]

PATENT  
REEL: 038205 FRAME: 0307

Translation

NOTARIAL CERTIFICATE

(2014)H.D. Z.W.Z.No.4533

Applicant:

CHEN Wenming, male, born on September 13, 1981

Citizen ID No.: 340721198109130912

WU Jun, male, born on July 1, 1982

Citizen ID No.: 43072419820701211X

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

American Passport No.: 488203880

Notarized Matter: Signature

This is to certify that CHEN Wenming, WU Jun, and STELLA XIAOXING XU affixed signatures to the foregoing foreign language document before the notary public in Shanghai on January 24, 2014.

SHEN Yuming (Seal)

Notary Public

The People's Republic of China

Shanghai Oriental Notary Public Office

(Seal)

February 24, 2014

43238577

Case No. 31601

## ASSIGNMENT AGREEMENT

I/We, the undersigned

**Inventor(s)**

Xuefei Tan, scientist, a Chinese citizen  
Room 101, No. 20, Lane 300 Jinxiu Road,  
Pudong, Shanghai 200135, China

Yongfu Liu, scientist, a Chinese citizen  
Room 303, No. 5, Lane 652 Kongjiang Road,  
Yangpu District, Shanghai 200093, China

Lisha Wang, scientist, a Chinese citizen  
Lane 1950 Siping Road, No. 20, Room 101,  
Shanghai 200433, China

Mingwei Zhou, scientist, a Chinese citizen  
Room 1505, Lane 3046, Chuan Bei Road,  
Shanghai 101210, China

Dongbo Li  
c/o Roche R&D Center (China) Ltd.  
Building 5, No. 720, Cailun Road  
Shanghai 201203, China

**Employed by:**

Roche R&D Center (China) Ltd.

Roche R&D Center (China) Ltd.

Roche R&D Center (China) Ltd.

Roche R&D Center (China) Ltd.

Roche R&D Center (China) Ltd.

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

**Inventor(s)**

Alexander V. Mayweg  
Hans P. Maerki  
Kurt Amrein  
Johannes Aebi  
Benoit Hornsperger  
Bernd Kuhn  
Rainer E. Martin  
Wenming Chen  
Jun Wu

**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  
F. Hoffmann-La Roche AG  
F. Hoffmann-La Roche AG  
F. Hoffmann-La Roche AG  
Shanghai Foreign Service Co., Ltd.  
Shanghai Foreign Service Co., Ltd.

hereinafter CO-INVENTOR(S)

of the invention entitled:

**New 3,4-dihydro-2H-isoquinoline-1-one and 2,3-dihydro-isoindol-1-one compounds**

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

**Applicant**

F. Hoffmann-La Roche AG

with the

**Patent Office**

State Intellectual Property Office of the  
People's Republic of China

as outlined below:

**Case No.**  
31601

**Country**  
PCT

**Filing Date**  
May 27, 2013

**Serial No.**  
PCT/CN2013/076276

Case No. 31601

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 the priority application(s) 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 claim priority of the priority application(s) set forth above, to apply for, obtain, and 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).

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)**

Shanghai, China,  
Place, Date

Xuefei Tan

Shanghai, China,  
Place, Date

Yongfu Liu

Basel, Switzerland January 21, 2014  
Place, Date

Lisha Wang

Shanghai, China  
Place, Date

Mingwei Zhou

Shanghai, China  
Place, Date

Dongbo Li

**ASSIGNEE**

**F. Hoffmann-La Roche AG**

Basel, Switzerland,  
Place, Date

March 04, 2014

Antonio Natoli

Holder of procuration

Petra Querfeld

Mandatory

**PATENT**

**REEL: 038205 FRAME: 0310**

**Legalization**

The undersigned Notary Public of the Canton of Basel-Stadt (Switzerland), Stefan Schönberger, herewith legalizes the foregoing signature of

Miss **Lisha Wang**, Chinese citizen, residing in Basel (Switzerland).

Legalization based on comparison with authentic signature.

He also legalizes the foregoing signature of

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

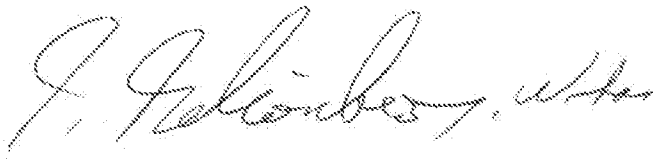
Mister Antonio Natoli, citizen of and residing in Basel (Switzerland), and

Miss Petra Querfeld, German citizen, residing in Steinen (Germany),

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

Legalization based on comparison with authentic signatures.

Basel (Switzerland), this 13<sup>th</sup> (thirteenth) day of March 2014 (two thousand and fourteen).



BV 81/2014



31601

(4532)

# 公 证 书

中华人民共和国上海市东方公证处

PATENT  
REEL: 038205 FRAME: 0312

### 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 No. 5, Lane 720 Cai Lun Road, Shanghai 201203, China

acknowledges the previous transfer to

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

of all right, title, and interest in, to, and deriving from the invention(s) disclosed in the patent application(s) set forth below for the whole world by operation of law, contract, or otherwise.

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, ASSIGNOR hereby assigns to ASSIGNEE for the whole 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

<b>Case No.</b> 31601	<b>Country</b> PCT	<b>Filing Date</b> May 27, 2013	<b>Serial No.</b> PCT/CN2013/076276
--------------------------	-----------------------	------------------------------------	--

entitled:

**New 3,4-dihydro-2H-isoquinoline-1-one and 2,3-dihydro-isoindol-1-one compounds**

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 with the United States Patent and Trademark Office and to own Letters Patents that issue thereon.

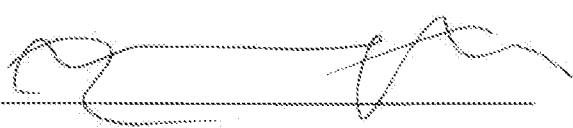
The ASSIGNOR obtained the rights in, to and deriving from the inventions disclosed in the Patent Application(s) set forth above as follows:

<b>Inventor(s)</b> Wenming CHEN Jun WU	<b>Date of Assignment</b> January 24, 2014 January 24, 2014	<b>Assigned to</b> Roche R&D Center (China) Ltd. Roche R&D Center (China) Ltd.
--	---	--

#### ASSIGNOR

**Roche R&D Center (China) Ltd.**

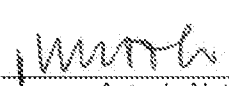
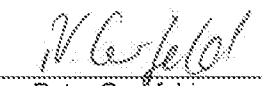
Shanghai, China, 1/24/2014  
Place, Date



#### ASSIGNEE

**F. Hoffmann-La Roche AG**

Basel, Switzerland, Mar 19, 2014  
Place, Date

   
Antonio Natoli      Petra Querfeld  
Holder of procuration      Mandatory

### 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 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 19<sup>th</sup> (nineteenth) day of March 2014 (two thousand and fourteen)



*Dr. Christoph Nertz*

BV 413/2014

# 公 证 书

(2014)沪东证外字第 4532 号

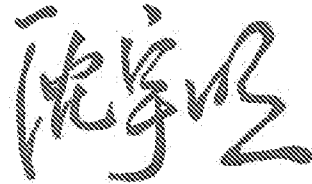
申请人：STELLA XIAOXING XU，女，一九七〇年四月二十八日出生  
美国护照号码：488203880

公证事项：签名

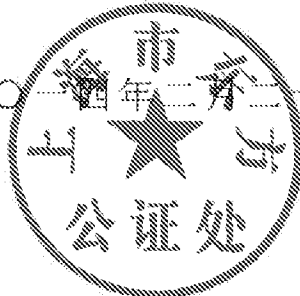
兹证明 STELLA XIAOXING XU 于二〇一四年一月二十四日在上海市，在本公证员的面前，在前面的外文文件上签名。

中华人民共和国上海市东方公证处

公 证 员



二〇一四年一月二十四日



48285526

Translation

NOTARIAL CERTIFICATE

(2014)H.D. Z.W.Z.No.4532

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 January 24, 2014.

SHEN Yuming (Seal)

Notary Public

The People's Republic of China

Shanghai Oriental Notary Public Office

(Seal)

February 24, 2014

488203880

Case No. 31601

## ASSIGNMENT AGREEMENT

I/We, the undersigned

**Inventor(s)**

Alexander V. Mayweg, chemist, a German citizen  
Martinsgasse 8, CH-4014 Basel, Switzerland

Hans P. Maerki, chemist, a Swiss citizen  
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Bernd Kuhn, chemist, a German and Swiss citizen  
Hinterlindenweg 26a, CH-4153 Reinach BL, Switzerland

Rainer E. Martin, chemist, an Austrian citizen  
Vogesenstrasse 47, CH-4056 Basel, Switzerland

**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

F. Hoffmann-La Roche AG

F. Hoffmann-La Roche AG

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

**Inventor(s)**

Xuefei Tan  
Yongfu Liu  
Lisha Wang  
Mingwei Zhou  
Dongbo Li  
Jun WU  
Wenming Chen

**Employed by:**

Roche R&D Center (China) Ltd.  
Roche R&D Center (China) Ltd.  
Roche R&D Center (China) Ltd.  
Roche R&D Center (China) Ltd.  
Roche R&D Center (China) Ltd.  
Shanghai Foreign Service Co., Ltd.  
Shanghai Foreign Service Co., Ltd.

hereinafter CO-INVENTOR(S)

of the invention entitled:

**New 3,4-dihydro-2H-isoquinoline-1-one and 2,3-dihydro-isoindol-1-one compounds**

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

**Applicant**

F. Hoffmann-La Roche AG

with the

**Patent Office**

State Intellectual Property Office of the  
People's Republic of China

as outlined below:

**Case No.**  
31601

**Country**  
PCT

**Filing Date**  
May 27, 2013

**Serial No.**  
PCT/CN2013/076276

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

F. Hoffmann-La Roche AG  
Grenzacherstrasse 124  
4070 Basel

Case No. 31601

Switzerland

hereinafter ASSIGNEE, of all right, title, and interest in, to, and deriving from the inventions disclosed in the priority application(s) 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 claim priority of the priority application(s) set forth above, to apply for, obtain, and 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).

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, Switzerland, January 21, 2014

Place, Date

*Alexander V. Mayweg*  
Alexander V. Mayweg

Basel, Switzerland, January 21, 2014

Place, Date

*Hans P. Maerki*  
Hans P. Maerki

Basel, Switzerland, January 21, 2014

Place, Date

*Kurt Ahrein*  
Kurt Ahrein

Basel, Switzerland, January 21, 2014

Place, Date

*Johannes Aebi*  
Johannes Aebi

Basel, Switzerland, January 21, 2014

Place, Date

*Benoit Hornsparger*  
Benoit Hornsparger

Basel, Switzerland, January 21, 2014

Place, Date

*Bernd Kuhn*  
Bernd Kuhn

Basel, Switzerland, January 21, 2014

Place, Date

*Rainer E. Martin*  
Rainer E. Martin

**ASSIGNEE**

**F. Hoffmann-La Roche AG**

Basel, Switzerland, *March 04, 2014*

Place, Date

*Antonio Natoli*  
Antonio Natoli  
Holder of procuration

*Petra Querfeld*  
Petra Querfeld  
Mandatory

TO BE NOTARIZED

**PATENT**

**REEL: 038205 FRAME: 0318**

**Legalization**

The undersigned Notary Public of the Canton of Basel-Stadt (Switzerland), Stefan Schönberger, herewith legalizes the foregoing signatures of

Mister Alexander V. Mayweg, German citizen, residing in Basel (Switzerland),

Mister Hans P. Maerki, citizen of Schlieren ZH, residing in Basel (Switzerland),

Mister Kurt Amrein, citizen of Luzern, residing in Itingen (Switzerland),

Mister Johannes Aebi, citizen of Murten FR (Switzerland), residing in Binningen (Switzerland),

Mister Benoit Hornsperger, French citizen, residing in Altkirch (France),

Mister Bernd Kuhn, citizen of Merenschwand AG (Switzerland), residing in Reinach/BL (Switzerland), and

Mister Rainer E. Martin, Austrian citizen, residing in Basel (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.

Legalization based on comparison with authentic signatures.

B a s e l (Switzerland), this 13<sup>th</sup> (thirteenth) day of March 2014 (two thousand and fourteen).

BV 82/2014