

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
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EPAS ID: PAT3882286

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
Name		Execution Date
PMCM2, LLC		03/23/2016
RECEIVING PARTY DATA		
Name:	CIRCLE 33, LLC	
Street Address:	P.O. BOX 11329	
City:	JACKSON	
State/Country:	WYOMING	
Postal Code:	83002	
PROPERTY NUMBERS Total: 32		
Property Type	Number	
Patent Number:	8071101	
Patent Number:	8728471	
Patent Number:	8592560	
Patent Number:	8268971	
Patent Number:	8182818	
Patent Number:	8435526	
Patent Number:	8647626	
Patent Number:	9079955	
Application Number:	60733061	
Application Number:	14658569	
Application Number:	15139657	
Application Number:	61055215	
Application Number:	61015507	
Application Number:	60976876	
Application Number:	13860029	
Application Number:	14704451	
Application Number:	61251996	
Application Number:	13444069	
Application Number:	13972230	
Application Number:	15051915	

PATENT

Property Type	Number
Application Number:	61445201
Application Number:	13402527
Application Number:	61513872
Application Number:	13564566
Application Number:	14726826
Application Number:	62066836
Application Number:	62237270
PCT Number:	US0870235
PCT Number:	US0878543
PCT Number:	US1052934
PCT Number:	US2012026112
PCT Number:	US2012049207

CORRESPONDENCE DATA

Fax Number:

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.

Email: NADA@NADAJAIN.COM

Correspondent Name: NADA JAIN

Address Line 1: P.O. BOX 11329

Address Line 4: JACKSON, WYOMING 83002

ATTORNEY DOCKET NUMBER:	4044.0001
NAME OF SUBMITTER:	NADA JAIN
SIGNATURE:	/Nada Jain/
DATE SIGNED:	05/20/2016
	This document serves as an Oath/Declaration (37 CFR 1.63).

Total Attachments: 19

source=Patent Assignment PMCM2 to Circle 33 Execution copy with exhibit #page1.tif
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PATENT ASSIGNMENT

THIS PATENT ASSIGNMENT (this "Assignment") is made as of this 23rd day of March, 2016 (the "Effective Date") by and between PMCM 2, LLC as assignee for the benefit of creditors of Avaxia Biologics, Inc. ("Assignor") and Circle 33, LLC, a DE limited liability company, and its successors, assigns and legal representatives (collectively "Assignee").

WHEREAS, Assignor is the owner of all rights, title and interest in and to the inventions, discoveries and applications as described and claimed in the United States and foreign patents and patent applications as listed on Schedule A (collectively, the "Patents") hereto; and

WHEREAS, Assignor and Assignee have agreed pursuant to that certain Bill of Sale and Sale Agreement, dated the date hereof (the "Purchase Agreement"), by and among Assignor and Assignee, that Assignor shall and does hereby sell, transfer, assign and set over unto Assignee, and Assignee accepts, all rights, title and interest in and to the Patents. Capitalized terms used herein but not defined herein shall have the respective meanings ascribed to them in the Purchase Agreement.

NOW, THEREFORE, in consideration of the Purchase Price, the mutual covenants and agreements of the Parties, and pursuant to the Purchase Agreement, and for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, it is hereby agreed as follows:

Assignor hereby sells, transfers and assigns and sets over to Assignee the entire right, title and interest of the Assignor, in and for the United States and all foreign countries: (i) in and to any and all Patents listed on Schedule A attached hereto; (ii) in and to said applications and any and all non-provisional, divisional, continuing, substitute, renewal, reissue, re-examination, extensions, certificates, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said Patents or to which the benefits of the priority date of any of said applications is or will be claimed; and (iii) in and to all original and reissued patents which have been or shall be filed in the United States and all foreign countries on said Patents including all rights under the International Convention for the Protection of Industrial Property and/or Patent Cooperation Treaty (collectively "Invention Rights") to be held and enjoyed by Assignee for its own use and the use of its successors, legal representatives and assigns to the full term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor, had the assignment not been made, including full and exclusive rights to sue upon and otherwise enforce the Invention Rights and to recover all past harm resulting in potential damages and other potential relief arising from infringement of the Invention Rights assigned by this instrument.

Assignor agrees that Assignee may apply for and receive Letters Patent in this or any other countries for said Patents in its own name.

Assignor agrees that, at the reasonable request of Assignee and, without charge to but at the expense of said Assignee, Assignor will: (i) carry out in good faith the intent and purpose of this Assignment; (ii) execute forms and documents for all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said Patents; (iii) execute all rightful oaths, assignments, powers of attorney and other papers; (iv) communicate to Assignee all facts known to the undersigned relating to said Patents and the history thereof; and (v) otherwise do the necessary to give full effect to and to perfect the rights of Assignee under this Agreement, including the execution, delivery and procurement of any and all further documents evidencing this Assignment, transfer and sale as may be necessary or desirable; provided, that Assignee shall reimburse Assignor for any reasonable out-of-pocket costs or expenses in connection therewith.

A ssignor hereby requests the C ommissioner of P atents to issu e any L etters P atent of the United States to A ssignee as the A ssignee of said P atents and L etters P atent to be issued thereon for the sole u se of A ssignee, its su ccessors, legal representatives and assigns.

[Signature page immediately follows]

IN WITNESS WHEREOF, the Parties have signed this Patent Assignment as of the Effective Date hereof.

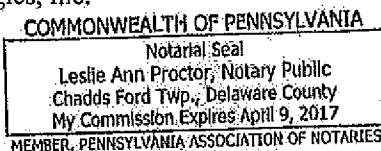
ASSIGNOR:

PMCM 2, LLC, as Assignee for the Benefit of Creditors of Avaxia Biologics, Inc.

By: James E. Fleet
Name: James E. Fleet

Title: Sr. Managing Director of PMCM 2, LLC, as and only as Assignee for the benefit of creditors of Avaxia Biologics, Inc.

State of Pennsylvania)
County of Delaware) ss.:



On the 23rd day of March, in the year 2016, before me, a Notary Public in and for said State, personally appeared James E. Fleet, who is personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instruments and acknowledged to me that such individual executed the same in each individual's capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Leslie Ann Proctor

Notary Public:

Notary Registration No.

My Commission expires: April 9, 2017

ASSIGNEE:

CIRCLE 33, LLC

By: Jo Ann Corkran

Name: Jo Ann Corkran

Title: Managing Member

State of New York)
County of New York) ss.:

On the 30 day of March, in the year 2016, before me, a Notary Public in and for said State, personally appeared Jo Ann Corkran, who is personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instruments and acknowledged to me that such individual executed the same in each individual's capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Mirella Cicio

Notary Public:

Notary Registration No.

My Commission expires:

MIRELLA CICIO
Notary Public, State of New York
No. 01C115238
Queens County
Commission Expires September 7, 2016

SCHEDULE A

CONFIDENTIAL

AVX-470 Patent Family Status*

1) **4044.3006-Covers AVX-470 for treating diseases involving altered permeability of the mucosal lining of the gastrointestinal tract (e.g. IBD and mucositis).**

United States Continuation Application Serial Number: 12/753,438, now U.S. Patent No. 8,182,818, issued May 22, 2012.

- Status: **Granted.**
- US Filing Date: April 2, 2010.
- Nominal** Expiration Date: October 2, 2028.
- Publication No: US 2010/0266607 A1.
- EPLG Ref: 4044.3006 US1

United States Divisional Application Serial Number: 13/452,026, now U.S. Patent No. 8,435,526, issued May 7, 2013.

- Status: **Granted.**
- US Filing Date: April 20, 2012.
- Nominal** Expiration Date: October 2, 2028.
- Publication No: US 2012/0315280 A1.
- EPLG Ref: 4044.3006 US2

United States Continuation Application Serial Number: 13/912,569, now U.S. Patent No. 8,647,626, issued February 11, 2014.

- Status: **Granted.**
- US Filing Date: June 7, 2013.
- Nominal** Expiration Date: October 2, 2028
- Publication No. US 2013/0337018.
- EPLG Ref: 4044.3006 US4

United States Divisional Application Serial Number: 14/152,046, now U.S. Patent No. 9,079,955, issued July 14, 2015.

- Status: **Granted.**
- US Filing Date: January 10, 2014.
- Nominal** Expiration Date: October 2, 2028
- Publication No. 2014/0193467.
- EPLG Ref: 4044.3006 US5

{//-- GENERAL --//4044/GENERAL/00267849/v1}1

CONFIDENTIAL

United States Continuation Application Serial Number: 14/704,451.

- Status: Pending.
- US Filing Date: May 5, 2015
- Publication No. US 2015/0307604.
- EPLG Ref: 4044.3006 US6

Divisional European Application Serial Number: 13184611.5.

- Status: Pending.
- EP/PCT Filing Date: October 2, 2008.
- Nominal** Expiration Date: October 2, 2028
- Publication No. 2725035.
- EPLG Ref: 4044.3006 EP

Canadian Application Serial Number: 2,734,139.

- Status: Pending.
- CA/PCT Filing Date: October 2, 2008.
- Nominal** Expiration Date: October 2028
- Publication No. 2,734,139.
- EPLG Ref: 4044.3006 CA

2) **4044.3007 – Covers treatment of IBD with AVX-470 having limited systemic exposure.**

U.S. Continuation Application Serial Number: 13/972,230.

- Status: Pending.
- US Filing Date: August 21, 2013.
- Nominal** Expiration Date: October 15, 2030
- Publication No. 2014/0010822.
- EPLG Ref: 4044.3007 US2

Australian Application Serial Number: 2010306563, now Australian Patent No. 2010306563, issued March 13, 2014.

- Status: **Granted.**
- AU/PCT Filing Date: October 15, 2010.
- Nominal** Expiration Date: October 15, 2030.
- Publication No. 2010306563.
- EPLG Ref: 4044.3007 AU

Divisional Australian Application Serial Number: 2013245509.

- Status: Pending.
- AU/PCT Filing Date: October 15, 2010.
- Nominal** Expiration Date: October 15, 2030.
- EPLG Ref: 4044.3007 AUD
- EPLG Ref: 4044.3007 AUD

{/-- GENERAL --/4044/GENERAL/00267849/v1}2

CONFIDENTIAL

Canadian Application Serial Number: 2,777,823.

- Status: Pending.
- CA/PCT Filing Date: October 15, 2010.
- Nominal** Expiration Date: October 15, 2030.
- Publication No. 2,777,823.
- EPLG Ref: 4044.3007 CA

European Application Serial Number: 10824210.8, now EP Patent No. 2488202, issued July 8, 2015.

- Status: **Granted. See below for validated countries.**
- EP/PCT Filing Date: October 15, 2010.
- Nominal** Expiration Date: October 15, 2030.
- Publication No: EP 2488202 A1.
- EPLG Ref: 4044.3007 EP

Divisional European Application Serial Number: 15175245.8.

- Status: Pending.
- EP/PCT Filing Date: October 15, 2010.
- EPLG Ref: 4044.3007 EPD

Australia Application Serial Number: 10824210.8, now Australian Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- AU/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 AU

Belgium Application Serial Number: 10824210.8, now Belgium Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- BE/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- 4044.3007 BE

Denmark Application Serial Number: 10824210.8, now Denmark Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- DK/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 DK

{//-- GENERAL --//4044/GENERAL/00267849/v1}3

PATENT

REEL: 038655 FRAME: 0780

CONFIDENTIAL

Finland Application Serial Number: 10824210.8, now Finland Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- FI/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 FI

France Application Serial Number: 10824210.8, now France Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- FR/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 FR

Germany Application Serial Number: 10824210.8, now Germany Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- DE/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 DE

Greece Application Serial Number: 10824210.8, now Greece Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- GR/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 GR

Hungary Application Serial Number: 10824210.8, now Hungary Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- HU/EP Filing Date: October 15, 2010
- Publication No. 2488202.

Ireland Application Serial Number: 10824210.8, now Ireland Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- IE/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 IE

{//-- GENERAL --//4044/GENERAL/00267849/v1}4

PATENT
REEL: 038655 FRAME: 0781

CONFIDENTIAL

Italy Application Serial Number: 10824210.8, now Italy Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- IT/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 IT

Netherlands Application Serial Number: 10824210.8, now Netherlands Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- NL/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 NL

Norway Application Serial Number: 10824210.8, now Norway Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- NO/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 NO

Poland Application Serial Number: 10824210.8, now Poland Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- PL/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 PL

Portugal Application Serial Number: 10824210.8, now Portugal Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- PT/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 PT

Spain Application Serial Number: 10824210.8, now Spain Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- ES/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 ES

{//-- GENERAL --//4044/GENERAL/00267849/v1}5

PATENT
REEL: 038655 FRAME: 0782

CONFIDENTIAL

Sweden Application Serial Number: 10824210.8, now Sweden Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- SE/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- 4044.3007 SE

Switzerland Application Serial Number: 10824210.8, now Switzerland Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- CH/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- 4044.3007 CH

United Kingdom Application Serial Number: 10824210.8, now United Kingdom Patent No. 2488202, issued July 8, 2015.

- Status: Granted.
- UK/EP Filing Date: October 15, 2010
- Publication No. 2488202.
- EPLG Ref: 4044.3007 UK

Hong Kong Application Serial Number: 13101231.2.

- Status: Allowed.
- EP/PCT Filing Date: October 15, 2010.
- Nominal** Expiration Date: October 15, 2030
- Publication No. 1173973.
- EPLG Ref: 4044.3007 HK

Japanese Application Serial Number: 2012-534415.

- Status: Pending.
- JP/PCT Filing Date: October 15, 2010.
- Nominal** Expiration Date: October 15, 2030
- Publication No. 2013-508300.
- EPLG Ref: 4044.3007 JP

Korean Application Serial Number: 10-12-7011319.

- Status: Pending.
- KR/PCT Filing Date: October 15, 2010.
- Nominal** Expiration Date: October 15, 2030.
- EPLG Ref: 4044.3007 KR

CONFIDENTIAL

New Zealand Application Serial Number: 599315, now New Zealand Patent No. 599315, issued on September 2, 2014.

- Status: **Granted.**
- NZ/PCT Filing Date: October 15, 2010.
- Nominal** Expiration Date: October 15, 2030
- Publication No. 599315.
- EPLG Ref: 4044.3007 NZ

Divisional New Zealand Application Serial Number: 620445.

- Status: Pending.
- NZ/PCT Filing Date: October 15, 2010.
- Nominal** Expiration Date: October 15, 2030
- EPLG Ref: 4044.3007 NZD

*ALL PATENTS AND PATENT APPLICATIONS HAVE BEEN ASSIGNED TO
AVAXIA

**EXCEPT AS OTHERWISE NOTED, EXPIRATION DATES ARE NOMINAL
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UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

OCTOBER 21, 2015

PTAS

NELSON MULLINS RILEY & SCARBOROUGH LLP
ONE POST OFFICE SQUARE
SUITE 30
BOSTON, MA 02109-2127

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REEL/FRAME: 036835/0561
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

DOCKET NUMBER: AVJ-003-1

ASSIGNOR:

BURTON, RANDALL EDWARD

DOC DATE: 10/07/2015

ASSIGNEE:

AVAXIA BIOLOGICS, INC.
128 SPRING STREET
SUITE 620
LEXINGTON, MASSACHUSETTS 02421

APPLICATION NUMBER: 62237270

FILING DATE: 10/05/2015

PATENT NUMBER:

ISSUE DATE:

TITLE: ANTIBODIES WITH IMPROVED STABILITY TO INTESTINAL DIGESTION

ASSIGNMENT RECORDATION BRANCH
PUBLIC RECORDS DIVISION

P.O. Box 1450, Alexandria, Virginia 22313-1450 - WWW.USPTO.GOV

PATENT

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SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
RANDALL EDWARD BURTON	10/07/2015
RECEIVING PARTY DATA	
Name:	AVAXIA BIOLOGICS, INC.
Street Address:	128 SPRING STREET
Internal Address:	SUITE 620
City:	LEXINGTON
State/Country:	MASSACHUSETTS
Postal Code:	02421
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	62237270
CORRESPONDENCE DATA	

<http://epas.uspto.gov/com/receipt.jsp?iname=AILLQZVPLMU6-87878>

10/20/2015

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Email:	IPBoston.Docketing@nelsonmullins.com, Tara.McClain@nelsonmullins.com
<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>	
Correspondent Name:	NELSON MULLINS RILEY & SCARBOROUGH LLP
Address Line 1:	ONE POST OFFICE SQUARE
Address Line 2:	SUITE 30
Address Line 4:	BOSTON, MASSACHUSETTS 02109-2127
ATTORNEY DOCKET NUMBER:	AVJ-003-1
NAME OF SUBMITTER:	CHRISTOPHER L. FRANK, PH.D.
Signature:	/Christopher L. Frank, Ph.D./
Date:	10/20/2015
Total Attachments: 2 source=AVJ-003-1 Assignment#page1.tif source=AVJ-003-1 Assignment#page2.tif	
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04/30/2015)**Validate**

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PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1

Stylesheet Version v1.2

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
RANDALL EDWARD BURTON	10/07/2015
RECEIVING PARTY DATA	
Name:	AVAXIA BIOLOGICS, INC.
Street Address:	128 SPRING STREET
Internal Address:	SUITE 620
City:	LEXINGTON
State/Country:	MASSACHUSETTS
Postal Code:	02421
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	62237270

CORRESPONDENCE DATA

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Phone: (617) 217-4700
Email: IPBoston.Docketing@nelsonmullins.com, Tara.McClain@nelsonmullins.com
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.
Correspondent Name: NELSON MULLINS RILEY & SCARBOROUGH LLP
Address Line 1: ONE POST OFFICE SQUARE
Address Line 2: SUITE 30
Address Line 4: BOSTON, MASSACHUSETTS 02109-2127

NAME OF SUBMITTER:	CHRISTOPHER L. FRANK, PH.D.
--------------------	-----------------------------

Signature:	/Christopher L. Frank, Ph.D./
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Date:	10/20/2015
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PATENT

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ASSIGNMENT BY INVENTOR

I, Randall Edward BURTON, of Billerica, Massachusetts, for good and valuable consideration paid to me by

Avaxia Biologics, Inc.

a Corporation of Delaware, having its principal place of business at 128 Spring Street, Suite 620, Lexington, Massachusetts 02421, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said

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its successors and assigns, the entire interest for the United States of America and all foreign countries including all rights of priority under the International Convention for the Protection of Industrial Property in a certain invention or improvement in

ANTIBODIES WITH IMPROVED STABILITY TO INTESTINAL DIGESTION

described in an application

☐ Executed by me of even date herewith and about to be filed

or

☒ Application No. 62/237,270, filed on October 5, 2015

in the United States Patent and Trademark Office, and in all Letters Patent of the United States and all foreign countries which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuing, reissue or other applications based in whole or in part thereon. And I agree, for myself and my executors and administrators, with said Corporation and its successors and assigns but at its or their expense and charges, hereafter to execute all applications, amended specifications, deed or other instrument, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and in all other countries to said Corporation, with specifications and claims in such form as shall be approved by the counsel of said Corporation and to vest and confirm in said Corporation, its successors and assigns, the legal title to all such patents.

And I do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said Corporation, its successors and assigns.

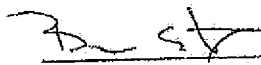
And I do further hereby grant the attorneys/agents of Nelson Mullins Riley & Scarborough LLP, the power to insert on this Assignment the filing date and/or application number of said application.

October 7, 2015
Date


Randall Edward Burton

Witness:

10-7-2015
Date


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