

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT3948754

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
LUIS BRITO	02/27/2012
MICHELLE CHAN	02/27/2012
ANDREW GEALL	02/27/2012
DEREK O'HAGAN	03/15/2012
MANMOHAN SINGH	02/27/2012
RECEIVING PARTY DATA	
Name:	NOVARTIS VACCINES AND DIAGNOSTICS, INC.
Street Address:	4560 HORTON STREET
City:	EMERYVILLE
State/Country:	CALIFORNIA
Postal Code:	94608
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	14130880
CORRESPONDENCE DATA	
Fax Number:	(610)270-6812
<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:	6102706812
Email:	us_cipkop@gsk.com
Correspondent Name:	GLAXOSMITHKLINE
Address Line 1:	709 SWEDELAND ROAD
Address Line 2:	UW2220
Address Line 4:	KING OF PRUSSIA, PENNSYLVANIA 19406
ATTORNEY DOCKET NUMBER:	VN54719
NAME OF SUBMITTER:	CARLY MORROW
SIGNATURE:	/Carly Morrow/
DATE SIGNED:	07/06/2016
Total Attachments: 8	

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RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

Atty Docket No.: PAT054719

To the Director of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

LUIS BRITO
MICHELLE CHAN
ANDREW GEALL
DEREK O'HAGAN
MANMOHAN SINGH

2. Name and address of receiving party(ies)
Name:

Novartis Vaccines and Diagnostics, Inc.
4560 Horton Street
Emeryville, California
94608-2916

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Joint Research Agreement ☐ Other _____
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License

☐ Other

Additional name(s) & address(es) attached? ☐ Yes ☒ No

Execution Date(s): 02/27/2012, 02/27/2012, 02/27/2012,
03/15/2012, 02/27/2012

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____.

A. Patent Application No.(s)

61/505,091

61/585,639

B. Patent No.(s)

Additional number(s) attached ☐ Yes ☒ No

5. Name and address of party to whom correspondence
concerning document should be mailed:

NOVARTIS VACCINES AND DIAGNOSTICS, INC.
Corporate Intellectual Property – X 100B
P.O. Box 8097
Emeryville, CA 94662-8097

6. Total number of applications and patents involved ☒ 2

7. Total fee (37 CFR 3.41)..... \$80.00

☐ Enclosed

☒ Authorized to be charged to deposit account,

8. Deposit account number: 03-1664

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is
a true copy of the original document.*

Helen Lee, Reg. No. 39,270

Name of Person Signing



Signature

26 March 2012

Date

Total number of pages including cover sheet, attachments, and document: ☒ 3

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, VA 22313-1450

ASSIGNMENT

WHEREAS, WE, Luis Brito, Michelle Chan, Andrew Geall, Derek O'Hagan and Manmohan Singh hereinafter referred to as **ASSIGNORS**, have invented certain new and useful improvements as described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: **OIL-IN-WATER EMULSIONS THAT CONTAIN NUCLEIC ACIDS**

U.S. Provisional Application. No.: 61/505,091

Filing Date: July 6, 2011

61/585,639

Filing Date: January 11, 2012

WHEREAS, Novartis Vaccines and Diagnostics, Inc., a corporation organized under the laws of the state of Delaware and having a place of business at 4560 Horton Street, Emeryville, California 94608, USA, hereinafter referred to as **ASSIGNEE**, is desirous of acquiring the entire right, title and interest in the above invention and application and in any Letters Patent which may be granted on the same;


NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, **ASSIGNORS** have sold, assigned, transferred and conveyed, and by these presents do sell, assign, transfer and convey unto said **ASSIGNEE**, and **ASSIGNEE'S** successors and assigns, all right, title and interest in and to the said invention, said application for United States Letters Patent, and any Letters Patent which may hereafter be granted on the same in the United States and all countries throughout the world including any divisions, renewals, continuations in whole or in part, substitutions, conversions (including conversions claiming priority under 35 U.S.C. § 119(e)), reissues, prolongations or extensions thereof, the said interest to be held and enjoyed by said **ASSIGNEE** as fully and exclusively as it would have been held and enjoyed by said **ASSIGNORS** had this assignment and transfer not been made, to the full end and term of any Letters Patent. This Assignment is effective as from the earliest priority date as stated above.

ASSIGNORS also agree that the U.S. serial number may be entered above by **ASSIGNEE** or its agents upon designation of the serial number by the U.S. Patent and Trademark Office.

ASSIGNORS further agree that they will, without charge to said **ASSIGNEE**, but at **ASSIGNEE'S** expense, cooperate with **ASSIGNEE** in the prosecution of said application and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as **ASSIGNEE** lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said **ASSIGNEE**, or **ASSIGNEE'S** successors and assigns.

IN TESTIMONY WHEREOF, **ASSIGNORS** have hereunto signed their names to this assignment on the dates indicated below.

Executed this 27 day of February, 2012.


Luis Brito _____ L.S.

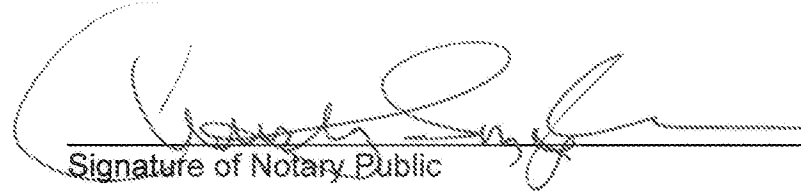
ACKNOWLEDGEMENT

Commonwealth of Massachusetts)

) s.s.:

County of Middlesex)

On this 27 day of February, 2012, before me personally appeared Luis Brito, to me known to be the person (or persons) described in and who executed the foregoing instrument, and acknowledged that he executed the same as his free act and deed.

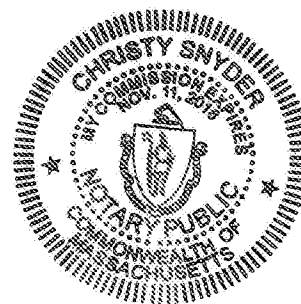


Signature of Notary Public


Print Name: CHRISTY SNYDER

My commission expires:

Nov 11, 2016



Executed this 27th day of February, 2012.

 L.S.
Michelle Chan


ACKNOWLEDGEMENT

Commonwealth of Massachusetts)

) s.s.:

County of Middlesex)

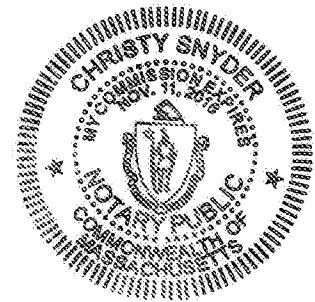
On this 27 day of February, 2012, before me personally appeared Michelle Chan, to me known to be the person (or persons) described in and who executed the foregoing instrument, and acknowledged that she executed the same as her free act and deed.


Signature of Notary Public

Print Name: CHRISTY SNYDER

My commission expires:

Nov 11, 2016



Executed this 27 day of Feb, 2012.

Andrew Geall L.S.
Andrew Geall

ACKNOWLEDGEMENT

Commonwealth of Massachusetts)

) s.s.:

County of Middlesex)

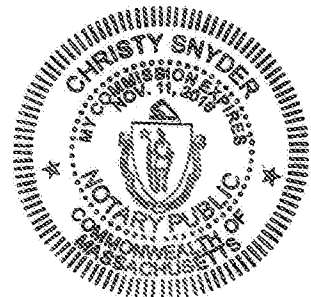
On this 27 day of February, 2012, before me personally appeared Andrew Geall, to me known to be the person (or persons) described in and who executed the foregoing instrument, and acknowledged that he executed the same as his free act and deed.

Christy Snyder
Signature of Notary Public

Print Name: CHRISTY SNYDER

My commission expires:

Nov 11, 2012



Executed this 15 day of MARCH, 2012.

Derek O'Hagan L.S.
Derek O'Hagan

ACKNOWLEDGEMENT

Commonwealth of Massachusetts)

) s.s.:

County of Middlesex)

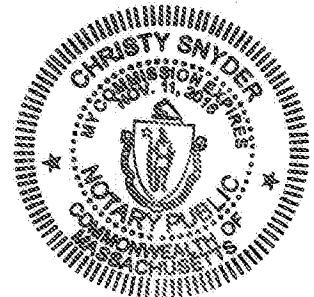
On this 15 day of MARCH, 2012, before me personally appeared Derek O'Hagan, to me known to be the person (or persons) described in and who executed the foregoing instrument, and acknowledged that he executed the same as his free act and deed.

Christy Snyder
Signature of Notary Public

Print Name: CHRISTY SNYDER

My commission expires:

Nov 11, 2016



Executed this 27th day of Feb, 2012

Manmohan Singh L.S.
Manmohan Singh

ACKNOWLEDGEMENT

Commonwealth of Massachusetts)

) s.s.:

County of Middlesex)

On this 27 day of February, 2012, before me personally appeared Manmohan Singh, to me known to be the person (or persons) described in and who executed the foregoing instrument, and acknowledged that he executed the same as his free act and deed.

Christy Snyder
Signature of Notary Public

Print Name: CHRISTY SNYDER

My commission expires:

Nov 11, 2016

