

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

EPAS ID: PAT3948759

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
NOVARTIS VACCINES AND DIAGNOSTICS INC	03/26/2012
RECEIVING PARTY DATA	
Name:	NOVARTIS AG
Street Address:	LICHTSTRASSE 35
City:	BASEL
State/Country:	SWITZERLAND
Postal Code:	4056
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: 4	
source=VN54719 US Inc to AG#page1.tif	
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RECORDATION FORM COVER SHEET
PATENTS ONLY

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):

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

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

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

NOVARTIS AG
Lichtstrasse 35
4056 Basel
SWITZERLAND

 Other

Additional name(s) & address(es) 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

Execution Date(s): 03/26/2012

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

Additional number(s) attached Yes No

B. Patent No.(s)

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

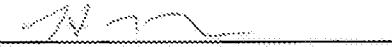
(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

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: 4

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 OF PATENT APPLICATION

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, (“ASSIGNOR”) and Novartis AG, a corporation of the country of Switzerland and having a place of business at Lichtstrasse 35, 4056 Basel, Switzerland, (“ASSIGNEE”) have agreed that ASSIGNEE shall acquire from ASSIGNOR the following patents and/or patent applications (“PATENT PROPERTIES”):

<u>Patent No.</u>	<u>Application No.</u>	<u>Filing Date</u>	<u>Issue Date</u>
	61/505,091	July 6, 2011	
	61/585,639	January 11, 2012	

Therefore, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, ASSIGNOR, the owner of the entire right, title, and interest in the PATENT PROPERTIES, hereby sells, assigns, transfers and conveys to ASSIGNEE, its designees, successors, assigns and legal representatives, the entire right, title and interest in the PATENT PROPERTIES and all divisions, continuations, reissues and reexaminations thereof, the inventions therein, and all rights to claim priority from the PATENT PROPERTIES and all applications for patent that may be filed for the inventions in any foreign country and all patents that may be granted on the inventions in any foreign country, and all extensions, renewals, and reissues thereof; each and every of the foregoing rights, titles and interests herein assigned shall be held and enjoyed by ASSIGNEE, its successors, assigns and legal representatives, as fully and entirely as the same would have been held and enjoyed by ASSIGNOR had this Assignment not been made. This Assignment is effective as from the earliest priority date as stated above.

IN TESTIMONY WHEREOF, Assignor has caused this Assignment to be duly executed in its name and behalf by affixing its hand and seal thereto by its designated officer, director, or agent, whose name and title appear below.

Executed at Emeryville, California this 26th day of March, 2012.

Novartis Vaccines and Diagnostics, Inc.

[Handwritten Signature]

Signature

Name: Helen Lee

Title: Assistant Secretary

State of California)

County of Alameda)

On March 26, 2012 before me, Nafra M Bates **Notary Public**, personally appeared Helen Lee, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that she executed the same in her authorized capacity, and that by her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

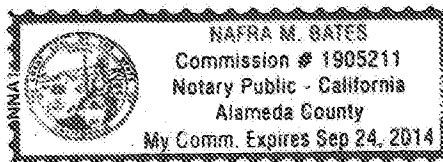
[Handwritten Signature]

Signature of Notary Public

Print Name: Nafra M. Bates

My commission expires:

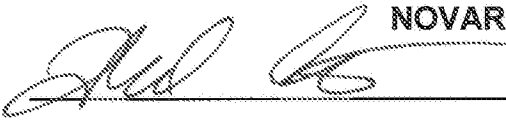
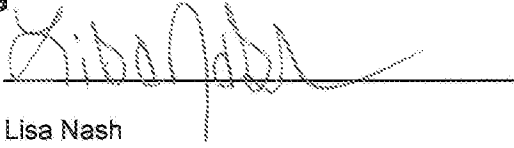
9/24/2014



Case No. PAT054719

ACCEPTANCE OF ASSIGNMENT

With reference to the Assignment to **NOVARTIS AG** of an invention entitled "OIL-IN-WATER EMULSIONS THAT CONTAIN NUCLEIC ACIDS" signed by Novartis Vaccines and Diagnostics, Inc.; this will certify that **NOVARTIS AG** accepts such Assignment.

By:	 _____	NOVARTIS AG	 _____
Name:	David Carpenter		Lisa Nash
Function:	Authorized Representative		Authorized Representative
Date:	<u>March 26, 2012</u>		