

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT4136837

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT	
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT	
<b>CONVEYING PARTY DATA</b>		
	<b>Name</b>	<b>Execution Date</b>
	F. HOFFMANN-LA ROCHE AG	06/20/2014
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	HOFFMANN-LA ROCHE INC.	
<b>Street Address:</b>	GREAT NOTCH, 150 CLOVE ROAD	
<b>Internal Address:</b>	8TH FLOOR	
<b>City:</b>	LITTLE FALLS	
<b>State/Country:</b>	NEW JERSEY	
<b>Postal Code:</b>	07424	
<b>PROPERTY NUMBERS Total: 1</b>		
	<b>Property Type</b>	<b>Number</b>
	Application Number:	15240768
<b>CORRESPONDENCE DATA</b>		
<b>Fax Number:</b>	(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>		
<b>Phone:</b>	(650) 866-2685	
<b>Email:</b>	docketing-d@gene.com, guiam.aida@gene.com	
<b>Correspondent Name:</b>	ANNA M. TAN	
<b>Address Line 1:</b>	1 DNA WAY	
<b>Address Line 2:</b>	LEGAL DEPARTMENT, MS 349	
<b>Address Line 4:</b>	SOUTH SAN FRANCISCO, CALIFORNIA 94080-4990	
<b>ATTORNEY DOCKET NUMBER:</b>	P31897-US	
<b>NAME OF SUBMITTER:</b>	ANNA M. TAN, REG. NO. 64,463	
<b>SIGNATURE:</b>	/Anna M. Tan/	
<b>DATE SIGNED:</b>	11/10/2016	
<b>Total Attachments: 4</b>		
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## ASSIGNMENT AGREEMENT

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

acknowledges the previous transfer to

Hoffmann-La Roche Inc. ("ASSIGNEE") a corporation of the State of New Jersey, United States of America, having its principal place of business at Great Notch, 150 Clove Road, 8<sup>th</sup> Floor, 07424 Little Falls, New Jersey, United States of America

for good and valuable consideration paid to ASSIGNOR by ASSIGNEE, the receipt and sufficiency of which is hereby acknowledged, 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 territory of the United States of America and its possessions by operation of law, contract, or otherwise, and any Letters Patent which may hereafter be granted on the same in the United States including any application claiming priority under 35 U.S.C. §119(e), divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, reexaminations, prolongations or extensions thereof.

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, for good and valuable consideration paid to ASSIGNOR by ASSIGNEE, the receipt and sufficiency of which is hereby acknowledged, ASSIGNOR hereby assigns, sells and transfers to ASSIGNEE, and to ASSIGNEE'S successors and assigns, for the territory of the United States of America and its possessions all of ASSIGNOR'S right, title and interest in, to, and deriving from the invention(s) described in the patent application(s) listed below, including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, reexaminations, prolongations or extensions thereof, or other U.S. patent applications claiming the benefit of the filing date of the following patent application(s):

Case No.	Country	Filing Date	Serial No.
31897	EP	19 February 2014	14155687.8

entitled

## BLOOD BRAIN BARRIER SHUTTLE

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. Accordingly, ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any United States Letters Patent which may issue for such patent applications, including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, reexaminations, prolongations or extensions thereof, to ASSIGNEE, its successors and assigns.

ASSIGNOR does hereby covenant and agree with ASSIGNEE, its successors and assigns, that ASSIGNOR will not execute any writing or do any act conflicting with this assignment, and ASSIGNOR further agrees that he will, without charge to said ASSIGNEE, but at ASSIGNEE'S expense, cooperate with ASSIGNEE in the prosecution of said Letters Patent 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.

Case No. 31897

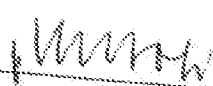
TO BE NOTARIZED

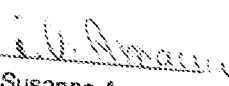
This agreement shall be governed and construed in accordance with substantive laws of Switzerland, with the exclusion of the Vienna Convention on the International Sale of Goods dated April 11, 1980. The competent courts of Basel City, Switzerland shall have exclusive jurisdiction.

ASSIGNOR

F. Hoffmann – La Roche AG

Basel, Switzerland, June 20, 2014  
Place, Date

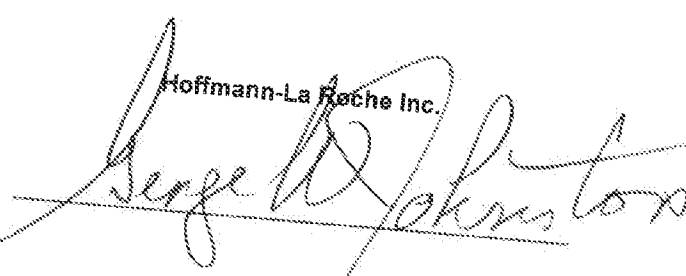
  
Antonio Natoli  
Holder of procuration

  
Susanne Amann  
Mandatory

ASSIGNEE

NEWARK, NEW JERSEY  
Place, Date

Hoffmann-La Roche Inc.

  
George W. Johnston  
Authorized Signatory

## 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 Susanne Amann, German citizen, residing in Heitersheim (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 23<sup>rd</sup> (twenty-third) day of June 2014 (two thousand and fourteen).



BV 860/2014

CERTIFICATE OF ACKNOWLEDGMENT

State of New Jersey    )  
                                  ) ss  
County of Essex         )

On July 25, 2014 before me, Charlene B. O'Connor, Notary Public in and for said county, personally appeared George W. Johnston, Authorized Signatory for Hoffmann La-Roche Inc., who has identified himself as the signer to the attached document described as: Assignment Agreement for Case No. 31897.

I certify under penalty of perjury under the laws of the State of New Jersey that the foregoing paragraph is true and correct.

WITNESS by hand and official seal

Charlene B. O'Connor

CHARLENE B. O'CONNOR  
NOTARY PUBLIC OF NEW JERSEY  
My Commission Expires May 1, 2019

Charlene B. O'Connor  
Notary Public of New Jersey  
My Commission Expires May 1, 2019

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