

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT4181352

<b>SUBMISSION TYPE:</b>	CORRECTIVE ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	Corrective Assignment to correct the ADD AN ASSIGNMENT AND CORRECT INVENTORS' NAMES: HIROYUKI ABURATANI, YUKIO ITO, YUTAKA MIDORIKAWA, KIYOTAKA NAKANO, IWAO OHIZUMI previously recorded on Reel 035068 Frame 0771. Assignor(s) hereby confirms the ASSIGNMENT.
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
HIROYUKI ABURATANI	10/06/2016
YUKIO ITO	10/06/2016
YUTAKA MIDORIKAWA	10/05/2016
KIYOTAKA NAKANO	10/11/2016
IWAO OHIZUMI	10/06/2016
SUSUMU TOKITA	10/05/2016
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	PERSEUS PROTEOMICS INC.
<b>Street Address:</b>	4-7-6 KOMABA, MEGURO-KU
<b>City:</b>	TOKYO
<b>State/Country:</b>	JAPAN
<b>Postal Code:</b>	153-0041
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
Application Number:	14579474
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(212)736-2427
<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>	2127361940
<b>Email:</b>	ddk@ddkpatent.com, khoffmann@ddkpatent.com
<b>Correspondent Name:</b>	DAVIDSON, DAVIDSON AND KAPPEL, LLC
<b>Address Line 1:</b>	589 EIGHTH AVENUE
<b>Address Line 2:</b>	16TH FLOOR
<b>Address Line 4:</b>	NEW YORK, NEW YORK 10018
<b>ATTORNEY DOCKET NUMBER:</b>	392.1001DIV
<b>NAME OF SUBMITTER:</b>	LESLYE B. DAVIDSON

<b>SIGNATURE:</b>	/Leslye B. Davidson/
<b>DATE SIGNED:</b>	12/12/2016
<b>Total Attachments: 9</b> source=DEC_OHIZUMI#page1.tif source=DEC_NAKANO#page1.tif source=DEC_MIDORIKAWA#page1.tif source=DEC_ABURATANI#page1.tif source=SubStatement_TOKITA#page1.tif source=SubStatement_TOKITA#page2.tif source=SubStatement_TOKITA#page3.tif source=DEC_ITO#page1.tif source=CoverSheet#page1.tif	

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT3247391

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
HIROVNKI ABURATANI	01/07/2015
YUKIO ITO	01/07/2015
YUTAKA MIDORIKAWA	01/07/2015
IWAO OHIZUMI	01/06/2015
KIYOTAKA NAKANO	01/13/2015
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	PERSEUS PROTEOMICS INC.
<b>Street Address:</b>	4-7-6 KOMABA, MERGURO-KU,
<b>City:</b>	TOKYO
<b>State/Country:</b>	JAPAN
<b>Postal Code:</b>	153-0041
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	14579474
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<b>Fax Number:</b>	
<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>	2127361940
<b>Email:</b>	jkawwa@ddkpatent.com
<b>Correspondent Name:</b>	DAVIDSON, DAVIDSON, & KAPPEL LLC
<b>Address Line 1:</b>	485 7TH AVE, 14TH FLOOR
<b>Address Line 4:</b>	NEW YORK, NEW YORK 10018
<b>ATTORNEY DOCKET NUMBER:</b>	392.1001DIV
<b>NAME OF SUBMITTER:</b>	LESLYE B. DAVIDSON
<b>SIGNATURE:</b>	/Leslye B. Davidson/
<b>DATE SIGNED:</b>	03/02/2015
<b>Total Attachments: 5</b>	
source=Declaration_ABURATANI#page1.tif	

**ASSIGNMENT AND DECLARATION UNDER 37 C.F.R. § 1.63**  
**(For Use with Signed Application Data Sheet)**

**Title of Invention:**

A METHOD FOR DIAGNOSING CANCER BY DETECTING GPC3

This assignment and declaration are directed to (check one):

- ☐ the attached application;
- ☒ the application identified by the attorney docket no. and title of invention given above;
- ☐ United States Application or PCT International Application No.

**ASSIGNMENT**

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, as a below-named inventor I have sold and assigned, and hereby sell and assign, to:

Name of Assignee: Perseus Proteomics Inc.

Address of Assignee: 4-7-6 Komaba, Meguro-Ku, Tokyo, Japan, 153-0041

(hereinafter ASSIGNEE) all right, title, and interest in and to the above-identified invention and United States patent application, including: (i) any and all divisions or continuations thereof, and in and to any and all Letters Patent of the United States that may issue on any such application or for said invention, including any and all reissues or extensions thereof, to be held and enjoyed by said ASSIGNEE, its successors, or assigns to the full end of the term or terms for which any and all such Letters Patent may be granted; (ii) all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable, to be held and enjoyed by said ASSIGNEE, its successors, or assigns to the full end of the term or terms for which any and all such patents, utility models, designs or other rights may be granted; and (iii) all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof, to be held and enjoyed by said ASSIGNEE, its successors, or assigns to the full end of the term or terms for which any and all such patents, utility models, designs or other rights may be granted.

I hereby authorize and request the Director of the U.S. Patent and Trademark Office to issue any and all such Letters Patent to said ASSIGNEE, its successors, or assigns in accordance herewith.

I warrant and covenant that I have the right to sell and assign the interests herein sold and assigned and that I have not executed and will not execute any document or instrument in conflict herewith.

I further covenant and agree that I will communicate to said ASSIGNEE, its successors, legal representatives, or assigns all information known to me relating to said invention or patent application and that I will execute and deliver any papers, make all rightful oaths, testify in any legal proceedings, and perform all other lawful acts necessary or desirable by said ASSIGNEE, its successors, legal representatives, or assigns to perfect title to said invention, to said application including divisions and continuations thereof and to any and all Letters Patent that may be granted therefor or thereon, including reissues or extensions, in said ASSIGNEE, its successors, or assigns, or to assist said ASSIGNEE, its successors, legal representatives, or assigns in obtaining, reissuing, or enforcing Letters Patent of the United States and any and all patents, utility models, designs or other rights that may be granted in the United States or of any country or countries foreign to the United States, for said invention.

**DECLARATION**

As a below-named inventor, I hereby declare that:

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. § 1001 by fine or imprisonment of not more than five (5) years, or both.

Signature: Iwao OhizumiInventor: Iwao OHIZUMIDate: Oct 6, 2016

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**Address of Assignee:** 4-7-6 Komaba, Meguro-Ku, Tokyo, Japan, 153-0041

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Signature: Kiyotaka Nakano

Inventor: Kiyotaka NAKANO

Date: Oct. 11, 2016

**ASSIGNMENT AND DECLARATION UNDER 37 C.F.R. § 1.63**  
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**Address of Assignee:** 4-7-6 Komaba, Meguro-Ku, Tokyo, Japan, 153-0041

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Signature: \_\_\_\_\_

Inventor: Yutaka MIDORIKAWA

Date: Oct 5th / 2016

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I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. § 1001 by fine or imprisonment of not more than five (5) years, or both.

Signature:

*Hiroaki Aburatani*

Inventor:

Hiroaki ABURATANI

Date:

*October 6, 2016*

**SUBSTITUTE STATEMENT IN LIEU OF AN OATH OR DECLARATION FOR UTILITY  
OR DESIGN PATENT APPLICATION (35 U.S.C. 115(d) AND 37 CFR 1.64)**

<b>Title of Invention</b>	METHOD FOR DIAGNOSING CANCER BY DETECTING GPC3		
This statement is directed to:			
<input type="checkbox"/> The attached application,			
OR			
<input checked="" type="checkbox"/> United States application or PCT international application number <u>14/579,474</u> filed on <u>22/12/2014</u>			
<b>LEGAL NAME of inventor to whom this substitute statement applies:</b>			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Susumu TOKITA			
Residence (except for a deceased or legally incapacitated inventor):			
City	Tokyo	State	Country Japan
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o Perseus Proteomics Inc. 4-7-6 Komaba, Meguro-Ku			
City	Tokyo	State	Zip 153-0041 Country Japan
I believe the above-named inventor or joint inventor to be the original inventor or an original joint inventor of a claimed invention in the application.			
The above-identified application was made or authorized to be made by me.			
I hereby acknowledge that any willful false statement made in this statement is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.			
Relationship to the inventor to whom this substitute statement applies:			
<input type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only),			
<input checked="" type="checkbox"/> Assignee,			
<input type="checkbox"/> Person to whom the inventor is under an obligation to assign,			
<input type="checkbox"/> Person who otherwise shows a sufficient proprietary interest in the matter (petition under 37 CFR 1.46 is required), or			
<input type="checkbox"/> Joint Inventor.			

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



**SUBSTITUTE STATEMENT**

Circumstances permitting execution of this substitute statement:

- ☐ Inventor is deceased,
- ☐ Inventor is under legal incapacity,
- ☒ Inventor cannot be found or reached after diligent effort, or
- ☐ Inventor has refused to execute the oath or declaration under 37 CFR 1.63.

If there are joint inventors, please check the appropriate box below:

- ☒ An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) naming the entire inventive entity has been or is currently submitted.

OR

- ☐ An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) has not been submitted. Thus, a Substitute Statement Supplemental Sheet (PTO/AIA/11 or equivalent) naming the entire inventive entity and providing inventor information is attached. See 37 CFR 1.64(b).

**WARNING:**

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

**PERSON EXECUTING THIS SUBSTITUTE STATEMENT:**Name: **Yukio SUDO**Date (Optional): *Oct 5/2016*Signature: **APPLICANT NAME AND TITLE OF PERSON EXECUTING THIS SUBSTITUTE STATEMENT:**

If the applicant is a juristic entity, list the applicant name and the title of the signer:

Perseus Proteomics Inc.

Applicant Name:

Title of Person Executing  
This Substitute Statement: **President & CEO**

The signer, whose title is supplied above, is authorized to act on behalf of the applicant.

**Residence of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent):**City **Tokyo**

State

Country **Japan****Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent)**

c/o Perseus Proteomics Inc., 4-7-6 Komaba, Meguro-ku

City **Tokyo**

State

Zip **153-0041**Country **Japan**

Note: Use an additional PTO/AIA/02 form for each inventor who is deceased, legally incapacitated, cannot be found or reached after diligent effort, or has refused to execute the oath or declaration under 37 CFR 1.63.

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**DECLARATION**

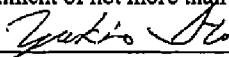
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Signature:



Inventor: Yukio ITO

Date: October 6, 2016