

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT4310534

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
BARBARA BRANNETTI	01/06/2017
THOMAS HUBER	01/06/2017
THOMAS PIETZONKA	01/06/2017
RECEIVING PARTY DATA	
Name:	NOVARTIS PHARMA AG
Street Address:	LICHTSTRASSE 35
City:	BASEL
State/Country:	SWITZERLAND
Postal Code:	4056
PROPERTY NUMBERS Total: 2	
Property Type	Number
Application Number:	14610837
PCT Number:	US2015013913
CORRESPONDENCE DATA	
Fax Number:	(617)395-7070
<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:	(617) 395-7076
Email:	DLPatents@LALaw.com
Correspondent Name:	LANDO & ANASTASI, LLP
Address Line 1:	RIVERFRONT OFFICE PARK
Address Line 2:	ONE MAIN STREET, SUITE 1100
Address Line 4:	CAMBRIDGE, MASSACHUSETTS 02142
ATTORNEY DOCKET NUMBER:	C2160-700210/WO
NAME OF SUBMITTER:	DAVID LU
SIGNATURE:	/David Lu/
DATE SIGNED:	03/09/2017
Total Attachments: 6	
source=Fully Executed Assignment Brannetti, Huber, Pietzonka to NPAG#page1.tif	
source=Fully Executed Assignment Brannetti, Huber, Pietzonka to NPAG#page2.tif	

source=Fully Executed Assignment Brannetti, Huber, Pietzonka to NPAG#page3.tif
source=Fully Executed Assignment Brannetti, Huber, Pietzonka to NPAG#page4.tif
source=Fully Executed Assignment Brannetti, Huber, Pietzonka to NPAG#page5.tif
source=Fully Executed Assignment Brannetti, Huber, Pietzonka to NPAG#page6.tif

ASSIGNMENT

This Assignment Agreement is entered into by and between

BARBARA BRANNETTI, c/o NOVARTIS PHARMA AG, NOVARTIS INSTITUTES FOR BIOMED. RESEARCH, POSTFACH, 4002 BASEL, CH, a citizen of ITALY;

THOMAS HUBER, c/o NOVARTIS PHARMA AG, NOVARTIS INSTITUTES FOR BIOMED. RESEARCH, POSTFACH, 4002 BASEL, CH, a citizen of SWITZERLAND;

THOMAS PIETZONKA, c/o NOVARTIS PHARMA AG, NOVARTIS INSTITUTES FOR BIOMED. RESEARCH, POSTFACH, 4002 BASEL, CH, a citizen of SWITZERLAND (hereinafter "Inventors"), and **Novartis Pharma AG**, a company incorporated in Switzerland whose address is Lichtstrasse 35, 4056 Basel, Switzerland.

For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, We the Inventors do hereby confirm and agree that, by operation of law and/or contract, and/or by the fulfillment of any and all legal requirements regarding the transfer of employee inventions in our country of employment, **Novartis Pharma AG** is the true and lawful owner of all right, title and interest in all inventions, discoveries, patents/utility models, applications, and rights described in paragraphs (1) through (8) below.

If, however, under the laws of any country, We the Inventors nevertheless have any ownership right, title or interest in any of the items described herein (which we do not believe to be the case and make no claim in or to), for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, We the Inventors do hereby sell, assign and transfer to **Novartis Pharma AG** and its successors, assigns and legal representatives (hereinafter referred to collectively as the "ASSIGNEE"), all of our right, title and interest for all countries of the world in and to

(1) all of our inventions and discoveries described in the provisional applications entitled

ANTIBODY MOLECULES TO TIM-3 AND USES THEREOF

for which we have filed a PCT International Application on January 30, 2015 and accorded International Patent Application Number PCT/US2015/013913;

and/or filed in the United States Patent and Trademark Office on January 30, 2015, and accorded Application Number 14/610,837;

(2) the applications identified in paragraph (1), and all applications claiming priority from such applications, directly or indirectly, including all national stages of any international patent applications;

(3) the right to file patent, utility model, or other applications on any invention or discovery disclosed in any of the applications identified in paragraphs (1) and (2), including the

right to file such applications on said inventions and discoveries in the names of ASSIGNEE or their designees or in our name, at ASSIGNEE's election and in accordance with applicable law in all countries and regions; and the right to file all patent, utility model, or other applications in all countries and regions claiming the priority of any of the provisional or non-provisional applications identified in paragraphs (1) or (2);

(4) all rights to claim priority from any of the applications referred to in paragraphs (1), (2), and (3) or from any application from which any of the applications referred to in paragraphs (1), (2) and (3) claim priority in all countries and regions under the Paris Convention for the Protection of Industrial Property, the WTO GATT TRIPS Agreement, the Inter-American Convention relating to Inventions, Patents, Designs, and Industrial Models and all other international agreements to which the United States now is or hereafter becomes a signatory and, if the United States patent application is a provisional patent application, under 35 USC 119(e);

(5) all continuations, continuations-in-part, and divisionals of any United States patent applications or international patent applications designating the United States, any national stages of any international applications, and any other patent applications described in paragraphs (1) through (4) hereof, including further continuations, continuations-in-part, and divisionals such as, but not limited to, continuations of continuations and continuations of divisionals;

(6) all patents, utility models, or other grants that issue from any of the applications referred to herein and all rights and remedies associated therewith including the right to sue for and recover past damages and to recover under 35 U.S.C. § 154 (d) or any other law permitting remedies for infringement prior to issuance of the patent;

(7) all registrations and confirmations of, and importation certificates based upon, one or more of said patents, utility models, or other grants, and applications for such registrations, confirmations and importation certificates and;

(8) all reissues, renewals and extensions of said patents, utility models, registrations, confirmations and importation certificates, reexamination certificates issued for said patents and supplementary protection certificates based upon said patents and applications for such reissues, renewals, extensions, reexamination certificates and supplementary protection certificates, the same to be held and enjoyed by said ASSIGNEE to the full ends of the terms for which said patents, utility models, registrations, confirmations, importation certificates, reexamination certificates, supplementary protection certificates, reissues, renewals and extensions may be granted, as fully and entirely as the same would have been held and enjoyed by us if this sale, assignment and transfer had not been made.

We the Inventors hereby covenant and agree that we will, at any time, (i) upon the request, but at the expense, of ASSIGNEE, execute and deliver all documents that may be necessary or desirable to perfect the title to the foregoing inventions and discoveries, applications, patents, utility models, registrations, confirmations, importation certificates, reissues, renewals, extensions, reexamination certificates, supplementary protection certificates, and applications within the scope of (7) and (8), in ASSIGNEE, including the execution and

procurement of all further documents evidencing this sale, assignment and transfer as may be necessary or desirable for recording the same in the patent office or other intellectual property office, agency or the like of any country or region, (ii) upon the request, but at the expense, of ASSIGNEE execute all additional applications within the scope of paragraphs (1) through (6) and all applications within the scope of (7) or (8), and (iii) make all rightful oaths and declarations and do all lawful acts requisite for procuring the same or for aiding therein, without further compensation, but at the expense of ASSIGNEE .

Should any provision of this Assignment be deemed invalid or unenforceable by reason of any law, statute, regulation or judgment, existing now or in the future in any jurisdiction, such provision shall be modified in such jurisdiction so as to nearly approximate the intent of the Parties. If this cannot be done, such invalid or unenforceable provision shall be divisible and be deleted in any such jurisdiction, and all other provisions shall remain in full force and effect. The modification or deletion of any provision in one jurisdiction shall have no effect on this Assignment in any other jurisdiction.

This Assignment shall be governed by the laws of Switzerland.

This Assignment is effective as from the earliest priority date as stated above.

Executed this 6 day of January, 2017.

BY Barbara Brannetti L.S.
Barbara Brannetti

Witnessed by:

Gudrun Beeskow
Name: **Gudrun Beeskow**
Address: **Lichtstrasse 35**
4056 Basel
Switzerland

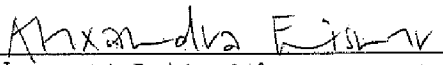
Alexandra Eigner
Name: **ALEXANDRA EIGNER**
Address: **Lichtstrasse 35**
4056 Basel
Switzerland

Executed this 6 day of January, 2017.

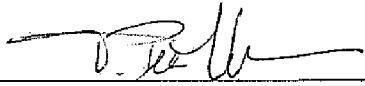
BY  L.S.
Thomas Huber

Witnessed by:

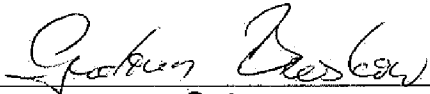

Name: **Gudrun Beeskow**
Address: Lichtstrasse 35
4056 Basel
Switzerland

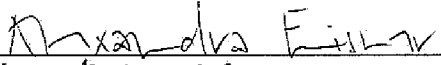

Name: **ALEXANDRA EISNER**
Address: Lichtstrasse 35
4056 Basel
Switzerland

Executed this 6 day of January, 2017.

BY  L.S.
Thomas Pietzonka

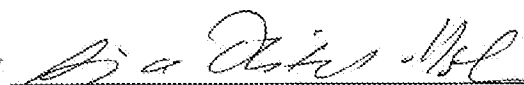
Witnessed by:


Name: **Gudrun Beeskow**
Address: **Lichtstrasse 35
4056 Basel
Switzerland**


Name: **ALEXANDRA EINER**
Address: **Lichtstrasse 35
4056 Basel
Switzerland**

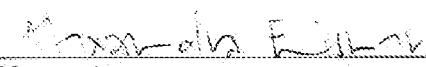
Novartis Pharma AG

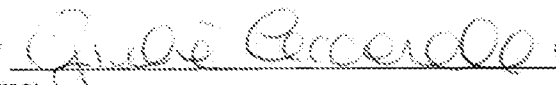
Executed this 9th day of January, 2017.

BY  L.S.
Name: ANJA DIETEL-MANSKE
Title: Authorized Signatory


Witnessed by:



Name: Gudrun Beeskow
Address: Lichtstrasse 35
4056 Basel
Switzerland


Name: ALEXANDRA EIKNER
Address: Lichtstrasse 35
4056 Basel
Switzerland

BY  L.S. **GIULIA CECCARELLI**
Name: GIULIA CECCARELLI **AUTHORIZED SIGNATORY**
Title: Authorized Signatory

Witnessed by:


Name: Gudrun Beeskow
Address: Lichtstrasse 35
4056 Basel
Switzerland


Name: ALEXANDRA EIKNER
Address: Lichtstrasse 35
4056 Basel
Switzerland

3131554.1