

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT4461905

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|---|-------------------------------|
| <b>SUBMISSION TYPE:</b>   | NEW ASSIGNMENT                |
| <b>NATURE OF CONVEYANCE:</b>  | ASSIGNMENT                    |
| <b>CONVEYING PARTY DATA</b>   |                               |
| <b>Name</b>   | <b>Execution Date</b>         |
| GLAXO GROUP LIMITED   | 08/19/2011                    |
| <b>RECEIVING PARTY DATA</b>   |                               |
| <b>Name:</b>  | AUTIFONY THERAPEUTICS LIMITED |
| <b>Street Address:</b>  | 90 HIGH HOLBORN               |
| <b>City:</b>  | LONDON                        |
| <b>State/Country:</b>   | UNITED KINGDOM                |
| <b>Postal Code:</b>   | WC1V 6XX                      |
| <b>PROPERTY NUMBERS Total: 1</b>  |                               |
| <b>Property Type</b>  | <b>Number</b>                 |
| <b>Application Number:</b>  | 15621400                      |
| <b>CORRESPONDENCE DATA</b>  |                               |
| <b>Fax Number:</b>  | (703)816-4000                 |
| <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>   | 7038164000                    |
| <b>Email:</b>   | ptomail@nixonvan.com          |
| <b>Correspondent Name:</b>  | B. J. SADOFF                  |
| <b>Address Line 1:</b>  | 901 NORTH GLEBE ROAD          |
| <b>Address Line 2:</b>  | 11TH FLOOR                    |
| <b>Address Line 4:</b>  | ARLINGTON, VIRGINIA 22203     |
| <b>ATTORNEY DOCKET NUMBER:</b>  | BJS-5483-35                   |
| <b>NAME OF SUBMITTER:</b>   | B. J. SADOFF                  |
| <b>SIGNATURE:</b>   | /B. J. Sadoff/                |
| <b>DATE SIGNED:</b>   | 06/15/2017                    |
| <b>Total Attachments: 7</b>   |                               |
| source=5483-35-Assignment-5-Glaxo-Group-to-Autifony#page1.tif   |                               |
| source=5483-35-Assignment-5-Glaxo-Group-to-Autifony#page2.tif   |                               |
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**CONFIRMATORY ASSIGNMENT****WHEREAS I/WE:**

**Giuseppe ALVARO, Paolo DAMBRUOSO, Agostino MARASCO, Simona TOMMASI all citizens of Italy, Anne DÉCOR a citizen of France and Charles LARGE a citizen of the United Kingdom, while residents of Verona, Italy** invented or discovered certain improvements in “**Novel Compounds**” (hereinafter referred to as “the **Invention and Improvements**”) for which priority application **1020607.6** was filed on **06 Dec 2010**, priority application **1109508.0** was filed on **07 June 2011** and priority application **1113757.7** was filed on **10 Aug 2011**, all in the **United Kingdom**, and for which a PCT international application **PCT/GB2011/052414** was filed on **06 Dec 2011**, designating the United States of America and naming the aforesaid individuals as inventor, and in the United States only applicant/inventor (hereinafter referred to as “the **Applications**”);

**WHEREAS Paolo DAMBRUOSO, Simona TOMMASI and Anne DÉCOR** were employed at the time of making the **Invention and Improvements** by **GLAXOSMITHKLINE S.P.A.** a company incorporated in Italy whose registered address is Via Alessandro Fleming 2, 37135 Verona, Italy, and whereas the **Invention and Improvements** were made in the course of employment under circumstances whereby all rights in and to the **Invention and Improvements** were vested in **GLAXOSMITHKLINE S.P.A.** by operation of law;

**WHEREAS Agostino MARASCO** was employed at the time of making certain subject matter of the **Invention and Improvements** by **GLAXOSMITHKLINE S.P.A.** and was employed at the time of making the remaining subject matter of the **Invention and Improvements** by **AUTIFONY SRL**, a company incorporated in Italy whose registered address is Via Belgio 12, Verona, 37135, Italy, and whereas subject matter of the **Invention and Improvements** made in the course of employment by **GLAXOSMITHKLINE S.P.A.** was made under circumstances whereby all rights in said subject matter were vested in **GLAXOSMITHKLINE S.P.A.** by operation of law, and whereas subject matter of the **Invention and Improvements** made in the course of employment by **AUTIFONY SRL** was made under circumstances whereby all rights in and to said subject matter were vested in **AUTIFONY SRL** by operation of law;

**WHEREAS Giuseppe ALVARO and Charles LARGE** were employed at the time of making certain subject matter of the **Invention and Improvements** by

**GLAXOSMITHKLINE S.P.A.** and were contracted at the time of making the remaining subject matter of **Invention and Improvements** to **AUTIFONY SRL**, and whereas subject matter of the **Invention and Improvements** made in the course of employment by **GLAXOSMITHKLINE S.P.A.** was made under circumstances whereby all rights in and to said subject matter were vested in **GLAXOSMITHKLINE S.P.A.** by operation of law, and whereas subject matter of the **Invention and Improvements** made while under contract to **AUTIFONY SRL** was made under circumstances whereby all rights in and to said subject matter were vested in **AUTIFONY SRL** by virtue of their contractual obligations;

**WHEREAS** by virtue of an agreement between **GLAXOSMITHKLINE S.P.A.** and **GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED**, a company incorporated in England whose registered address is 980 Great West Road, Brentford, Middlesex TW8 9GS, England, effective at 19 August 2011 the whole right, title and interest in and to the **Invention and Improvements** and in and to the **Applications** owned by **GLAXOSMITHKLINE S.P.A.** was transferred to **GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED**;

**WHEREAS** by virtue of an agreement between **GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED** and **GLAXO GROUP LIMITED**, a company incorporated in England whose registered address is Glaxo Wellcome House, Berkeley Avenue, Greenford, Middlesex, UB6 0NN, England, effective at 19 August 2011 the whole right, title and interest in and to the **Invention and Improvements** and in and to the **Applications** owned by **GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED** was transferred to **GLAXO GROUP LIMITED**;

**WHEREAS** by virtue of an agreement between **GLAXO GROUP LIMITED** and **AUTIFONY THERAPEUTICS LIMITED** a company incorporated in England and Wales whose registered address is 90 High Holborn, London, WC1V 6XX, effective as of 19 August 2011 the whole right, title and interest in and to the **Invention and Improvements** and in and to the **Applications** owned by **GLAXO GROUP LIMITED** was transferred to **AUTIFONY THERAPEUTICS LIMITED**;

**WHEREAS** by virtue of an agreement between **AUTIFONY SRL** and **AUTIFONY THERAPEUTICS LIMITED** a company incorporated in England and Wales whose

registered address is 90 High Holborn, London, WC1V 6XX, effective as of 6 December 2011 the whole right, title and interest in and to the **Invention and Improvements** and in and to the **Applications** owned by **AUTIFONY SRL** was transferred to **AUTIFONY THERAPEUTICS LIMITED**;

**WHEREAS AUTIFONY THERAPEUTICS LIMITED** is desirous of confirming its entitlements in and to the **Invention and Improvements** and in and to the **Applications**.

**NOW, THEREFORE**, to all whom it may concern be it known that I/we, **Paolo DAMBRUOSO, Simona TOMMASI and Anne DÉCOR** hereby confirm the ownership by **GLAXOSMITHKLINE S.P.A.** of the **Invention and Improvements** and the **Applications** by operation of law and, if under the law of the United States of America I/we the **Inventor(s)** have any ownership right, title and interest in and to the **Invention and Improvements** and the **Applications**, (which I/we do not believe to be the case and claim no ownership right, title or interest in and to the **Invention and Improvements** and to the **Application** based on the law of Italy), I/we **Paolo DAMBRUOSO, Simona TOMMASI and Anne DÉCOR** nevertheless hereby assign and transfer such ownership right, title and interest in and to the **Invention and Improvements** and to the **Applications**, including the right to claim priority from the **Applications** in respect of any subsequent applications, and in and to any divisional application, continuation or continuation in part application thereof, and in and to any Supplementary Protection Certificate, extension, or re-issue thereof, to **GLAXOSMITHKLINE S.P.A.**;

**NOW, THEREFORE**, to all whom it may concern be it known that I **Agostino MARASCO** hereby confirm the ownership by **GLAXOSMITHKLINE S.P.A.** of subject matter of the **Invention and Improvements** and such subject matter in the **Applications**, made in the course of employment by **GLAXOSMITHKLINE S.P.A.** and I confirm the ownership by **AUTIFONY SRL** of subject matter of the **Invention and Improvements** and such subject matter in the **Applications**, made in the course of employment by **AUTIFONY SRL**, whereby said ownership by **GLAXOSMITHKLINE S.P.A.** and said ownership by **AUTIFONY SRL** derives from operation of law and, if under the law of the United States of America I have any ownership right, title and interest in and to the **Invention and Improvements** and the **Applications**, (which I do not believe to be the case and claim no

ownership right, title or interest in and to the **Invention and Improvements** and to the **Application** based on the law of Italy), I nevertheless hereby assign and transfer such ownership right, title and interest in and to the particular subject matter of the **Invention and Improvements** and to the **Applications**, including the right to claim priority from the **Applications** in respect of any subsequent applications, and in and to any divisional application, continuation or continuation in part application thereof, and in and to any Supplementary Protection Certificate, extension, or re-issue thereof, for subject matter of the **Invention and Improvements** and subject matter in the **Applications** made during employment by **GLAXOSMITHKLINE S.P.A.**, to **GLAXOSMITHKLINE S.P.A.** and for subject matter of the **Invention and Improvements** and subject matter in the **Applications** made during employment by **AUTIFONY SRL**, to **AUTIFONY SRL**.

**NOW, THEREFORE**, to all whom it may concern be it known that I/we **Giuseppe ALVARO and Charles LARGE** hereby confirm the ownership by **GLAXOSMITHKLINE S.P.A.** of subject matter of the **Invention and Improvements** and such subject matter in the **Applications** made in the course of employment by **GLAXOSMITHKLINE S.P.A.** and I/we confirm the ownership by **AUTIFONY SRL** of subject matter of the **Invention and Improvements** and such subject matter in the **Applications** made while under contract to **AUTIFONY SRL**, whereby said ownership by **GLAXOSMITHKLINE S.P.A.** and said ownership by **AUTIFONY SRL** derives from operation of law and by virtue of a specific assignment clause in the **Inventor(s)'s** respective contracts respectively, and, if under the law of the United States of America I/we have any ownership right, title and interest in and to the **Invention and Improvements** and the **Applications**, (which I/we do not believe to be the case and claim no ownership right, title or interest in and to the **Invention and Improvements** and to the **Application** based on the law of Italy), I/we nevertheless hereby assign and transfer such ownership right, title and interest in and to the particular subject matter of the **Invention and Improvements** and to the **Applications**, including the right to claim priority from the **Applications** in respect of any subsequent applications, and in and to any divisional application, continuation or continuation in part application thereof, and in and to any Supplementary Protection Certificate, extension, or re-issue thereof, for subject matter of the **Invention and Improvements** and subject matter in the **Applications** made during employment by **GLAXOSMITHKLINE S.P.A.**, to **GLAXOSMITHKLINE S.P.A.** and for subject matter of the **Invention and Improvements**

and subject matter in the **Applications** made while under contract to **AUTIFONY SRL**, to **AUTIFONY SRL**.

**GLAXOSMITHKLINE S.P.A.** hereby confirms its assignment and transfer to **GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED** of its whole right, title and interest in all countries, including the United States of America, its territories and possessions in and to the **Invention and Improvements** and in and to the **Applications** including the right to claim priority from the application in respect of any subsequent applications, and in and to any divisional application, continuation or continuation in part application thereof, and in and to any Supplementary Protection Certificate, extension or re-issue thereof.

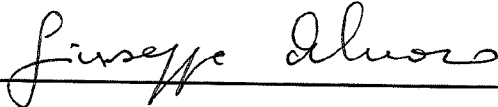
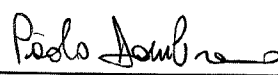
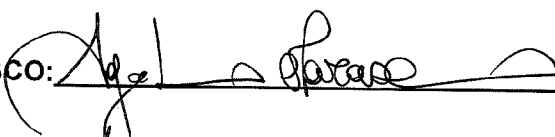

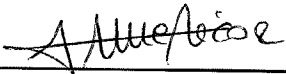

**GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED** in turn hereby confirms its assignment and transfer to **GLAXO GROUP LIMITED** of its whole right, title and interest in all countries, including the United States of America, its territories and possessions in and to the **Invention and Improvements** and in and to the **Applications** including the right to claim priority from the application in respect of any subsequent applications, and in and to any divisional application, continuation or continuation in part application thereof, and in and to any Supplementary Protection Certificate, extension or re-issue thereof.

**GLAXO GROUP LIMITED** in turn hereby confirms its assignment and transfer to **AUTIFONY THERAPEUTICS LIMITED** of its whole right, title and interest in all countries, including the United States of America, its territories and possessions in and to the **Invention and Improvements** and in and to the **Applications** including the right to claim priority from the application in respect of any subsequent applications, and in and to any divisional application, continuation or continuation in part application thereof, and in and to any Supplementary Protection Certificate, extension or re-issue thereof, and **GLAXO GROUP LIMITED** hereby authorise and request any patent arising therefrom, in all countries, including the United States of America, its territories and possessions, be issued to **AUTIFONY THERAPEUTICS LIMITED**.

**AUTIFONY SRL** in turn hereby confirms its assignment and transfer to **AUTIFONY THERAPEUTICS LIMITED** of its whole right, title and interest in all countries, including the

United States of America, its territories and possessions in and to the **Invention and Improvements** and in and to the **Applications** including the right to claim priority from the application in respect of any subsequent applications, and in and to any divisional application, continuation or continuation in part application thereof, and in and to any Supplementary Protection Certificate, extension or re-issue thereof, and **AUTIFONY SRL** hereby authorise and request any patent arising therefrom, in all countries, including the United States of America, its territories and possessions, be issued to **AUTIFONY THERAPEUTICS LIMITED**.

**IN WITNESS** whereof, **Giuseppe ALVARO, Paolo DAMBRUOSO, Agostino MARASCO, Simona TOMMASI, Anne DÉCOR, Charles LARGE** and the Attorney & Authorised Officials of **GLAXOSMITHKLINE S.P.A, GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED, GLAXO GROUP LIMITED, AUTIFONY SRL** and **AUTIFONY THERAPEUTICS LIMITED** have hereunto set their respective hands.

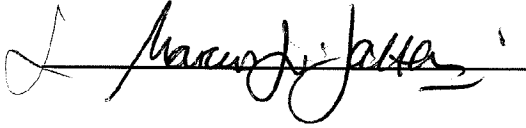
| Inventor Name     | Signature  | Date              |
|-------------------|--|-------------------|
| Giuseppe ALVARO:  |  | MARCH 05, 2013    |
| Paolo DAMBRUOSO:  |   | MARCH 12, 2013    |
| Agostino MARASCO: |  | MARCH 05, 2013    |
| Simona TOMMASI:   |   | MARCH, 13 2013    |
| Anne DÉCOR:       |   | February 26, 2013 |
| Charles LARGE:    |   | MARCH 28, 2013    |



**Marcus Jonathan William DALTON**

SIGNED by \_\_\_\_\_

As the Attorney of **GLAXOSMITHKLINE S.P.A.**



Date: 11 APR 2013

**Marcus Jonathan William DALTON**

SIGNED by \_\_\_\_\_

As the Attorney of **GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED.**



Date: 11 APR 2013

**Marcus Jonathan William DALTON**

SIGNED by \_\_\_\_\_

As the Attorney of **GLAXO GROUP LIMITED.**



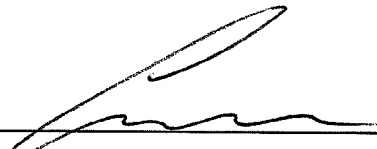
Date: 11 APR 2013

SIGNED by  \_\_\_\_\_

As the Attorney of **AUTIFONY SRL.**

JOHN BRASSMAN \_\_\_\_\_

Date: 19/3/2013

SIGNED by  \_\_\_\_\_

As the Attorney of **AUTIFONY THERAPEUTICS LIMITED.**

CHARLES LARCE \_\_\_\_\_

Date: 25/3/2013