

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT4525923

| | |
|---|--------------------------------|
| SUBMISSION TYPE: | NEW ASSIGNMENT |
| NATURE OF CONVEYANCE: | ASSIGNMENT |
| CONVEYING PARTY DATA | |
| Name | Execution Date |
| ANDREAS BERTOOGG | 03/24/2015 |
| HANSPETER SCHILLING | 07/13/2015 |
| RECEIVING PARTY DATA | |
| Name: | NOVARTIS PHARMA AG |
| Street Address: | POSTFACH |
| City: | BASEL |
| State/Country: | SWITZERLAND |
| Postal Code: | 4002 |
| PROPERTY NUMBERS Total: 1 | |
| Property Type | Number |
| Application Number: | 15546707 |
| CORRESPONDENCE DATA | |
| Fax Number: | (973)781-8064 |
| <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: | 862-778-7821 |
| Email: | andrea.jacquin@novartis.com |
| Correspondent Name: | ANDREA JACQUIN |
| Address Line 1: | ONE HEALTH PLAZA |
| Address Line 4: | EAST HANOVER, NEW JERSEY 07936 |
| ATTORNEY DOCKET NUMBER: | PAT056331-US-PCT |
| NAME OF SUBMITTER: | ANDREA JACQUIN |
| SIGNATURE: | /Andrea Jacquin/ |
| DATE SIGNED: | 07/28/2017 |
| Total Attachments: 10 | |
| source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page1.tif | |
| source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page2.tif | |
| source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page3.tif | |
| source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page4.tif | |
| source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page5.tif | |

source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page6.tif
source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page7.tif
source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page8.tif
source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page9.tif
source=56331-US-PCT_Assignment Bertogg_Schilling to NovaPharmaAG#page10.tif

ASSIGNMENT

This Assignment Agreement is entered into by and between

- | | | |
|------------------------|---------------------------|---|
| 1. Andreas BERTOGG | citizen of Switzerland | c/o Novartis Pharma AG Postfach 4002 Basel Switzerland |
| 2. Hanspeter SCHILLING | citizen of Switzerland | c/o Novartis Pharma AG Postfach 4002 Basel Switzerland |

(hereinafter "Inventor(s)"), and Novartis Pharma AG, Postfach, 4002 Basel, Switzerland, a company organized under the laws of Switzerland.

For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, I/We the Inventor(s) 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 my/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, I/We the Inventor(s) nevertheless have any ownership right, title or interest in any of the items described herein (which I/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, I/We the Inventor(s) 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 or non-provisional patent, utility model, or other application(s) entitled

PROCESS FOR THE PRODUCTION OF CONDENSED IMIDAZOLO DERIVATIVES

and filed in the European Office on _____ and accorded Application Number _____ and/or filed as a PCT International Application on _____ and accorded International Patent Application Number _____ and/or filed in the United States Patent and Trademark Office on 29 January 2015 and accorded Application Number 62/109307

1/5

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

(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/my 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 application(s) 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 application(s) or international patent application(s) designating the United States, any national stages of any international application(s), and any other patent application(s) 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 me/us if this sale, assignment and transfer had not been made.

I/We the Inventor(s) hereby authorize ASSIGNEE and their representatives to insert in paragraph (1) of this Assignment the filing date(s) and Application Number(s) of said patent, utility model, or other application(s) when notified thereof.


I/We the Inventor(s) hereby covenant and agree that I/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.

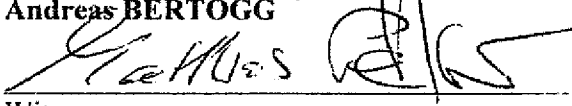
This Assignment shall be governed by the laws of Switzerland.

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

Executed this 24 day of March, 2015



Andreas BERTOGG L.S.



Witness
Print Name: Matthias Peter



Witness
Print Name:

Novartis Pharma AG
Dr. Jochen Burghart
Process Manager
TRD CHAD Supply
WSJ-145.10.01
~416132 45210

Executed this ____ day of _____, 2015

Hanspeter SCHILLING L.S.

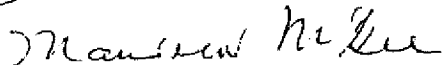
Witness
Print Name:

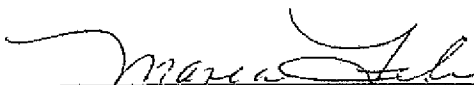
Witness
Print Name:


Executed this 3rd day of August, 2015

Acceptance of Company
Novartis Pharma AG

BY:  L.S.
Linda Adams, Authorized Signatory

BY:  L.S.
Maureen McGee, authorized signatory


Witness
Print Name: MARIA FILCA


Witness
Print Name: Lester Williams

ASSIGNMENT

This Assignment Agreement is entered into by and between

- | | | |
|------------------------|---------------------------|---|
| 1. Andreas BERTOGG | citizen of Switzerland | c/o Novartis Pharma AG Postfach 4002 Basel Switzerland |
| 2. Hanspeter SCHILLING | citizen of Switzerland | c/o Novartis Pharma AG Postfach 4002 Basel Switzerland |

(hereinafter "Inventor(s)"), and Novartis Pharma AG, Postfach, 4002 Basel, Switzerland, a company organized under the laws of Switzerland.

For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, I/We the Inventor(s) 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 my/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, I/We the Inventor(s) nevertheless have any ownership right, title or interest in any of the items described herein (which I/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, I/We the Inventor(s) 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 or non-provisional patent, utility model, or other application(s) entitled

PROCESS FOR THE PRODUCTION OF CONDENSED IMIDAZOLO DERIVATIVES

and filed in the European Office on _____ and accorded Application Number _____ and/or filed as a PCT International Application on _____ and accorded International Patent Application Number _____ and/or filed in the

United States Patent and Trademark Office on 29 January 2015 and accorded Application Number 62/109307

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

(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/my 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 application(s) 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 application(s) or international patent application(s) designating the United States, any national stages of any international application(s), and any other patent application(s) 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 me/us if this sale, assignment and transfer had not been made.

I/We the Inventor(s) hereby authorize ASSIGNEE and their representatives to insert in paragraph (1) of this Assignment the filing date(s) and Application Number(s) of said patent, utility model, or other application(s) when notified thereof.

I/We the Inventor(s) hereby covenant and agree that I/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 ____ day of _____, 2015

L.S.
Andreas BERTOGG

Witness
Print Name:

Witness
Print Name:

Executed this 13 day of July, 2015

H.S. Schilling L.S.
Hanspeter SCHILLING

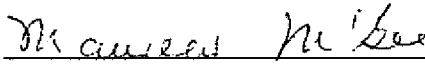
M. Schilling
Witness
Print Name: Monika Schilling

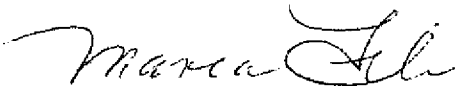
Edith
Witness
Print Name: Edith CHORAD

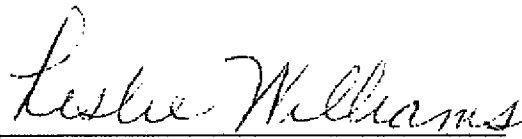
Executed this 3rd day of August, 2014.

Acceptance of Company
Novartis Pharma AG

BY:  L.S.
Linda Adams, Authorized Signatory

BY:  L.S.
Maureen McGee, authorized signatory


Witness
Print Name: MARIA FILA


Witness
Print Name: Leslie Williams