

PATENT ASSIGNMENT COVER SHEET

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EPAS ID: PAT4688764

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
STEFAN ABELE	09/17/2013
KLAUS LAUE	09/17/2013
ROLAND A. BRIETENMOSER	09/12/2013
RECEIVING PARTY DATA	
Name:	VISTAGEN THERAPEUTICS, INC.
Street Address:	343 ALLERTON AVENUE
City:	SOUTH SAN FRANCISCO
State/Country:	CALIFORNIA
Postal Code:	94080
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	15812599
CORRESPONDENCE DATA	
Fax Number:	
<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:	703-776-9700
Email:	mail@jalindeman.com
Correspondent Name:	J.A. LINDEMAN & CO. PLLC
Address Line 1:	3190 FAIRVIEW PARK DRIVE
Address Line 2:	SUITE 480
Address Line 4:	FALLS CHURCH, VIRGINIA 22042
ATTORNEY DOCKET NUMBER:	128.0004-US01
NAME OF SUBMITTER:	JEFFREY A. LINDEMAN
SIGNATURE:	/Jeffrey A. Lindeman, Reg. No. 34,658/
DATE SIGNED:	11/14/2017
Total Attachments: 6	
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PROVISIONAL ASSIGNMENT

This assignment is by:

- Dr. Stefan Abele
1. Stallenrain 1
CH-4104 Oberwil
Switzerland

(name)

2. (mailing address)

(name)

3. (mailing address)

(name)

4. (mailing address)

(collectively referred to in this Assignment as "Assignor"), who reside at or have a mailing address as listed above.

This Assignment is to:

Assignee: VistaGen Therapeutics, Inc.
Address: 343 Allerton Ave. South San Francisco, CA 94080, South San Francisco, California 94080
A corporation duly organized under and pursuant to the laws of Nevada

(referred to in this Assignment as "Assignee"), who desire to acquire the entire right, title and interest in said inventions and said provisional application for letters patent of the United States, and in any United States or foreign, letters patent or patents, to be obtained therefor and thereon.

Assignor has invented certain new and useful inventions disclosed in:

"Methods for the Synthesis of Chiral Kynurenine Compounds"

for which the following provisional application has been filed in the United States of America.

Serial No.: 61/785,807

Filing Date: March 14, 2013

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged,

1. Assignor hereby sells, assigns, transfers and sets over, to Assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions, provisional application and application for letters patent, and any and all letters patent or patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all other provisionals, non-provisionals, divisions, continuations, continuations-in-part and substitutions of said application, or reissues, re-examinations or extensions of said letters patent or patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by Assignee (including any right to institute actions and to recover for past, present and future infringement), for its own use and the use of its successors, legal representatives

1

pa-1581437

and assigns, to the full end of the term or terms for which letters patent or patents may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor, had this sale and assignment not been made.

2. Assignor represents, warrants and covenants that, at the time of execution and delivery of this agreement, Assignor is a lawful owner of the entire right, title and interest in and to said inventions and said provisional application and application for letters patent, and that the same are unencumbered and that Assignor has good and full right and lawful authority to sell and convey the same in the manner set forth in this agreement.

3. Assignor shall promptly sign and execute all papers and documents, take all lawful oaths, and do all acts necessary, required or useful for the procurement, maintenance, enforcement, defense or otherwise to secure title thereto to the Assignee, at the sole cost and expense of Assignee, its successors, legal representatives and assigns, in each case including, without limitation, arising from or relating to (a) said inventions, or said provisional application and application for letters patent; (b) letters patent for said inventions in any country, including any reissue, re-examination or extension of or interference proceedings; or (c) any provisional, division, continuation, continuation-in-part, or substitutions of any application for letters patent or any reissues, re-examinations, extensions or interference proceedings involving any letters patent, to be obtained thereon. To be clear, for purposes of this paragraph, "desirable" shall include, without limitation, any act necessary or useful in connection with United States laws and/or international conventions.

4. Assignor hereby authorizes and requests the Commissioner of Patents in the United States to issue the above mentioned letters patents of the United States to Assignee as the assignee of said inventions and the letters patent to be issued thereon for the sole use of Assignee, its successors, legal representatives and assigns.

5. "I hereby grant Assignee's attorneys, all of Morrison & Foerster LLP, the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark office for recordation of this document, including the power to insert on this assignment the application number and filing date of said application when known."

In witness whereby, executed by the undersigned on the date(s) opposite the undersigned name(s).

Date: 17 September 2013

Signature: _____



Printed Name: DR. STEFAN ABELE

PROVISIONAL ASSIGNMENT

This assignment is by:

- Dr. Klaus Laue
1. Lochmatweg 17, 5033 Buchs AG, Switzerland

(collectively referred to in this Assignment as "Assignor"), who reside at or have a mailing address as listed above.

This Assignment is to:

Assignee: VistaGen Therapeutics, Inc.
Address: 343 Allerton Ave., South San Francisco, CA 94080, South San Francisco, California 94080
A corporation duly organized under and pursuant to the laws of: Nevada

(referred to in this Assignment as "Assignee"), who desire to acquire the entire right, title and interest in said inventions and said provisional application for letters patent of the United States, and in any United States or foreign, letters patent or patents, to be obtained therefor and thereon.

Assignor has invented certain new and useful inventions disclosed in:

"Methods for the Synthesis of Chiral Kynurenine Compounds"

for which the following provisional application has been filed in the United States of America.

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For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged,

1. Assignor hereby sells, assigns, transfers and sets over, to Assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions, provisional application and application for letters patent, and any and all letters patent or patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all other provisionals, non-provisionals, divisions, continuations, continuations-in-part and substitutions of said application, or reissues, re-examinations or extensions of said letters patent or patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by Assignee (including any right to institute actions and to recover for past, present and future infringement), for its own use and the use of its successors, legal representatives and assigns, to the full end of the term or terms for which letters patent or patents may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor, had this sale and assignment not been made.
2. Assignor represents, warrants and covenants that, at the time of execution and delivery of this agreement, Assignor is a lawful owner of the entire right, title and interest in and to said inventions and said provisional application and application for letters patent, and that the same are unencumbered and that Assignor has good and full right and lawful authority to sell and convey the same in the manner set forth in this agreement.
3. Assignor shall promptly sign and execute all papers and documents, take all lawful oaths, and do all acts necessary, required or useful for the procurement, maintenance, enforcement, defense or otherwise to secure title

thereto to the Assignee, at the sole cost and expense of Assignee, its successors, legal representatives and assigns, in each case including, without limitation, arising from or relating to (a) said inventions, or said provisional application and application for letters patent; (b) letters patent for said inventions in any country, including any reissue, re-examination or extension of or interference proceedings; or (c) any provisional, division, continuation, continuation-in-part, or substitutions of any application for letters patent or any reissues, re-examinations, extensions or interference proceedings involving any letters patent, to be obtained thereon. To be clear, for purposes of this paragraph, "desirable" shall include, without limitation, any act necessary or useful in connection with United States laws and/or international conventions.

4. Assignor hereby authorizes and requests the Commissioner of Patents in the United States to issue the above mentioned letters patents of the United States to Assignee as the assignee of said inventions and the letters patent to be issued thereon for the sole use of Assignee, its successors, legal representatives and assigns.

5. "I hereby grant Assignee's attorneys, all of Morrison & Foerster LLP, the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark office for recordation of this document, including the power to insert on this assignment the application number and filing date of said application when known."

In witness whereby, executed by the undersigned on the date(s) opposite the undersigned name(s).

Date: 17-Sep-2013

Signature: 

Printed Name: Klaus Lowe

PROVISIONAL ASSIGNMENT

This assignment is by:

- Roland A. Breitenmoser
1. Schlossrain 3
4324 Obermumpf
Switzerland

(name)
2. (mailing address)
 3. (name)
(mailing address)
 4. (name)
(mailing address)

(collectively referred to in this Assignment as "Assignor"), who reside at or have a mailing address as listed above.

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Assignee: VistaGen Therapeutics, Inc.
Address: 343 Allerton Ave. | South San Francisco, CA 94080, South San Francisco, California 94080
A corporation duly organized under and pursuant to the laws of: Nevada

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and assigns, to the full end of the term or terms for which letters patent or patents may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor, had this sale and assignment not been made.

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4. Assignor hereby authorizes and requests the Commissioner of Patents in the United States to issue the above mentioned letters patents of the United States to Assignee as the assignee of said inventions and the letters patent to be issued thereon for the sole use of Assignee, its successors, legal representatives and assigns.

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In witness whereby, executed by the undersigned on the date(s) opposite the undersigned name(s).

Date: 10-Sep-2013

Signature: R. Breidenmoser

Printed Name: Roland A. Breidenmoser