

## PATENT ASSIGNMENT COVER SHEET

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EPAS ID: PAT4726021

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
HERRIOT TABUTEAU	12/01/2017
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	AXSOME THERAPEUTICS, INC.
<b>Street Address:</b>	25 BROADWAY, 9TH FLOOR
<b>City:</b>	NEW YORK
<b>State/Country:</b>	NEW YORK
<b>Postal Code:</b>	10004
<b>PROPERTY NUMBERS Total: 10</b>	
<b>Property Type</b>	<b>Number</b>
Application Number:	62114215
Application Number:	62259993
PCT Number:	US2016026991
Application Number:	15132130
Application Number:	62442136
Application Number:	62504105
Application Number:	62526884
Application Number:	62536466
Application Number:	62536465
Application Number:	15797955
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(435)252-1361
<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>	949-202-1900
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<b>Correspondent Name:</b>	BRENT A. JOHNSON
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<b>Address Line 4:</b>	IRVINE, CALIFORNIA 92618
<b>ATTORNEY DOCKET NUMBER:</b>	A3225.0

PATENT

<b>NAME OF SUBMITTER:</b>	MARIA NADAL
<b>SIGNATURE:</b>	/Maria Nadal/
<b>DATE SIGNED:</b>	12/08/2017
<b>Total Attachments: 4</b> source=EXECUTED ASSIGNMENT 12-2017#page1.tif source=EXECUTED ASSIGNMENT 12-2017#page2.tif source=EXECUTED ASSIGNMENT 12-2017#page3.tif source=EXECUTED ASSIGNMENT 12-2017#page4.tif	

## ASSIGNMENT

**THIS ASSIGNMENT** is made by **Herriot Tabuteau** (hereafter, together with any successors, legal representatives, or assigns thereof, "ASSIGNOR") to **Axsome Therapeutics, Inc.**, a legal entity having its principal place of business at 25 Broadway, 9<sup>th</sup> Floor, New York, New York 10004 (hereafter, together with any successors, legal representatives, or assigns thereof, "ASSIGNEE").

**WHEREAS**, ASSIGNOR has invented and owns rights in, to and under new and useful inventions for which an application(s) for or Letters Patent has been filed as indicated on **Exhibit A** (hereafter "Inventions");

**WHEREAS**, ASSIGNOR believes himself to be the original and true inventor of the Inventions;

**WHEREAS**, ASSIGNEE desires to acquire the Inventions and improvements thereto;

**AND WHEREAS**, ASSIGNOR and ASSIGNEE desire to have a recordable instrument assigning ASSIGNEE as owners of the entire right, title and interest in, to, and under the Inventions and improvements thereto owned by ASSIGNOR;

**NOW THEREFORE**, for other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, ASSIGNOR does hereby sell, assign, transfer, convey, endorse, and hereby set over unto ASSIGNEE the full and exclusive right, title and interest in, to and under the Inventions to be held and enjoyed by ASSIGNEE, as fully and entirely as the same would have been held and enjoyed by ASSIGNOR had this assignment and sale not been made including the full and exclusive right, title and interest in, to and under 1) any patent application, or any other legal instrument equivalent thereof, including, without limitation, continuation, division, continuation-in-part, substitute, reexamination, renewal, inventor's certificate, and utility model, which has been or may be submitted therefor and thereon anywhere in the World, such term defined herein as including the United States of America, its territorial possessions, and any and all foreign countries under national laws or under the provisions of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, or any other international treaty equivalent thereof; 2) any Letters Patent, or any other legal instrument equivalent thereof, which has been or may be granted therefor and thereon, in the World, for the full term or terms for which the same may be granted; 3) any reissue, extension, or any other legal instrument equivalent thereof, on any patent application or Letters Patent which has been or may be granted therefor and thereon in the World; and 4) any right to claim priority to a filing date, or any other legal equivalent thereof, which has been or may be claimed by any patent application or Letters Patent therefor and thereon in the World.

**ASSIGNOR** hereby covenants and agrees to perform any lawful action when deemed essential by and to ASSIGNEE's full enjoyment, protection, enforcement and title in, to and under the Inventions and rights hereby transferred, including, but not limited to, promptly communicating and providing any and all known and accessible facts, data or any other pertinent information; promptly executing and delivering any and all papers, documents, forms, declarations, oaths, affidavits or any other legal instrument; promptly assisting and participating in any and all depositions, hearings, proceedings, trials, appeals, or any other legal procedure; promptly testifying under oath in any and all interference, post grant review, litigation or any other

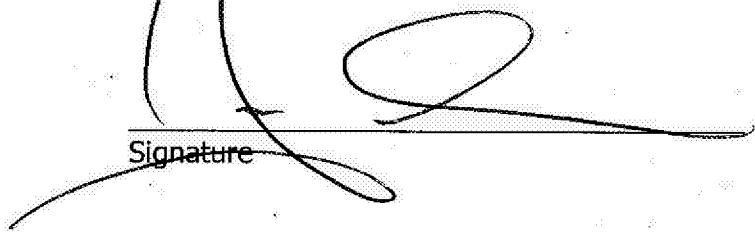
administrative or judicial proceeding; and promptly completing any and all actions necessary or desirable to carry out any and all purposes thereof, relating to any and all proceedings in connection with the submission, procurement, issuance, maintenance, enforcement or defense of the inventions and rights hereby transferred.

*A Notary Public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached and not the truthfulness accuracy or validity of that document.*

**IN TESTIMONY WHEREOF**, I hereunder set my hand this 1 day of Dec., 2017.

**ASSIGNOR**

**Herriot Tabuteau**

  
Signature

State of )  
County of ) ss.:

On this \_\_\_\_ day of \_\_\_\_\_, 2017, before me, \_\_\_\_\_, personally appeared **Herriot Tabuteau**, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal.

\_\_\_\_\_  
Notary Public

*A Notary Public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached and not the truthfulness accuracy or validity of that document.*

**ACKNOWLEDGED AND CONFIRMED**, I hereunder set my hand this 1 day of Dec., 2017, as a duly authorized representative of ASSIGNEE.

**ASSIGNEE**

  
Name: Herriot Tabuteau, MD  
Title: Managing Member

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ ) ss.:

On this \_\_\_\_ day of \_\_\_\_\_, 2017, before me, \_\_\_\_\_, personally appeared **Herriot Tabuteau** who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal.

\_\_\_\_\_  
Notary Public

**EXHIBIT A****Patent Rights: Patents and Patent Applications**

<b><u>Title</u></b>	<b><u>Serial No.</u></b>	<b><u>Filing Date</u></b>
PHARMACEUTICAL COMPOSITIONS COMPRISING MELOXICAM	62/114,215	10 Feb 2015
PHARMACEUTICAL COMPOSITIONS COMPRISING MELOXICAM	62/259,993	25 Nov 2015
PHARMACEUTICAL COMPOSITIONS COMPRISING MELOXICAM	PCT/US2016/026991	11 Apr 2016
PHARMACEUTICAL COMPOSITIONS COMPRISING MELOXICAM	15/132,130	18 Apr 2016
PHARMACEUTICAL COMPOSITIONS COMPRISING FROVATRIPTAN	62/442,136	4 Jan 2017
PHARMACEUTICAL COMPOSITIONS COMPRISING FROVATRIPTAN	62/504,105	10 May 2017
PHARMACEUTICAL COMPOSITIONS COMPRISING MELOXICAM	62/526,884	29 June 2017
PHARMACEUTICAL COMPOSITIONS COMPRISING MELOXICAM	62/536,466	25 July 2017
PHARMACEUTICAL COMPOSITIONS COMPRISING MELOXICAM	62/536,465	25 Jul 2017
PHARMACEUTICAL COMPOSITIONS COMPRISING MELOXICAM	15/797,955	30 October 2017