

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

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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>
	ROCHE R&D CENTER (CHINA) LTD.	12/26/2016
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	F. HOFFMANN-LA ROCHE AG	
<b>Street Address:</b>	GRENZACHERSTRASSE 124	
<b>City:</b>	BASEL	
<b>State/Country:</b>	SWITZERLAND	
<b>Postal Code:</b>	4070	
<b>PROPERTY NUMBERS Total: 1</b>		
	<b>Property Type</b>	<b>Number</b>
	Application Number:	16213308
<b>CORRESPONDENCE DATA</b>		
<b>Fax Number:</b>	(650)952-9881	
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<b>ATTORNEY DOCKET NUMBER:</b>	P33674-US	
<b>NAME OF SUBMITTER:</b>	CHIAKI KOKKA	
<b>SIGNATURE:</b>	/Chiaki Kokka/	
<b>DATE SIGNED:</b>	12/19/2018	
<b>Total Attachments: 5</b>		
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# 公 证 书

中华人民共和国上海市东方公证处

**ASSIGNMENT AGREEMENT**

Roche R&D Center (China) Ltd. ("ASSIGNOR") a corporation duly organized under the laws of the People's Republic of China and having its principal place of business at Building 5, No. 720, Cailun Road, Shanghai, 201203, China

acknowledges the previous transfer to

F. Hoffmann-La Roche AG ("ASSIGNEE") a corporation duly organized under the laws of Switzerland, and having its principal place of business at 124 Grenzacherstrasse, CH-4070 Basle, Switzerland

for good and valuable consideration paid to ASSIGNOR by ASSIGNEE, the receipt and sufficiency of which is hereby acknowledged, of all right, title, and interest in, to, and deriving from the invention(s) disclosed in the patent application(s) set forth below for all countries of the world by operation of law, contract, or otherwise, and any Letters Patent which may hereafter be granted on the same in all countries of the world including any application claiming priority, divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, reexaminations, prolongations or extensions thereof.

As far as the right, title, and interest of ASSIGNOR in, to, and deriving from the invention(s) disclosed in the patent application(s) set forth below may not have been transferred, for good and valuable consideration paid to ASSIGNOR by ASSIGNEE, the receipt and sufficiency of which is hereby acknowledged, ASSIGNOR hereby assigns, sells and transfers to ASSIGNEE, and to ASSIGNEE'S successors and assigns, for all countries of the world all of ASSIGNOR'S right, title and interest in, to, and deriving from the invention(s) described in the patent application(s) listed below, including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, reexaminations, prolongations or extensions thereof, or other patent applications claiming the benefit of the filing date of the following patent application(s):

Case No.	Country	Filing Date	Serial No.
P33674	WO	12. June 2016	PCT/CN2016/085471

entitled

**DIHYDROPYRIMIDINYL BENZAZEPINE CARBOXAMIDE COMPOUNDS**

ASSIGNEE, by virtue of this Assignment, shall have the right to file and own patent applications that claim priority to and are based in whole or in part on the patent application(s) cited above in all countries of the world and to own Letters Patents that issue thereon. Accordingly, ASSIGNOR hereby authorizes and requests the patent offices to issue any Letters Patent which may issue for such patent applications, including any divisions, renewals, continuations in whole or in part, substitutions, conversions, reissues, reexaminations, prolongations or extensions thereof, to ASSIGNEE, its successors and assigns.

ASSIGNOR does hereby covenant and agree with ASSIGNEE, its successors and assigns, that ASSIGNOR will not execute any writing or do any act conflicting with this assignment, and ASSIGNOR further agrees that he will, without charge to said ASSIGNEE, but at ASSIGNEE'S expense, cooperate with ASSIGNEE in the prosecution of said Letters Patent and/or applications, execute, verify, acknowledge and deliver all such further papers, including applications for Letters Patent and for the reissue thereof, and instruments of assignment and transfer thereof, and will perform such other acts as ASSIGNEE lawfully may request, to obtain or maintain Letters Patent for said invention and improvement in any and all countries, and to vest title thereto in said ASSIGNEE, or ASSIGNEE'S successors and assigns.

Case No. P33674

TO BE NOTARIZED

This agreement shall be governed and construed in accordance with substantive laws of Switzerland, with the exclusion of the Vienna Convention on the international Sale of Goods dated April 11, 1980. The competent courts of Basel City, Switzerland shall have exclusive jurisdiction.

**ASSIGNOR**

Roche R&D Center (China) Ltd.

Shanghai Dec 26, 2016  
Place, Date

[Signature]  
Signatures

**ASSIGNEE**

F. Hoffmann-La Roche AG

Basel January 25, 2017  
Place, Date

[Signature] [Signature]  
Signatures Antonio Natoli Ina Gengelbach  
Holder of procuration Mandatory

**Legalization**

The undersigned Notary Public of the Canton of Basel-Stadt (Switzerland), Dr. Christoph Nertz, herewith legalizes the foregoing signature of

F. Hoffmann-La Roche AG, a stock company with legal domicile in Basel (Switzerland), rendered by Mister Antonio Natoli, citizen of and residing in Basel (Switzerland), and Miss Ina Gengelbach, German citizen, residing in Grenzach-Wyhlen (Germany), both duly entitled to sign documents wherein property of the company is alienated. Signers and signatures personally known.

Basel (Switzerland), this 31<sup>st</sup> (thirty-first) day of January 2017 (two thousand and seventeen).



[Signature]

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# 公 证 书

(2016)沪东证外字第 72531 号

申请人：罗氏研发（中国）有限公司

住所：上海市张江高科技园区蔡伦路七二〇弄五号

法定代表人：ALEXANDER DAVID HARDY

委托代理人：朱颖先，男，一九七六年四月三十日出生  
公民身份号码：320525197604303012

公证事项：签名

兹证明罗氏研发（中国）有限公司的委托代理人朱颖先于二〇一六年十二月二十六日在上海市，在前面的《ASSIGNMENT AGREEMENT》上签名，该签名行为属实。

中华人民共和国上海市东方公证处

公 证 员

沈宇明



1191052012

Translation

**NOTARIAL CERTIFICATE**

**(2016)H.D.Z.W.Z.No.72531**

Applicant: Roche R&D Center (China) Ltd.

Domicile: No. 5, Lane 720, Cailun Rd., Zhangjiang High-tech  
Park, Shanghai

Legal Representative: ALEXANDER DAVID HARDY

Entrusted Agent: ZHU Yingxian, male, born on April 30, 1976

Citizen ID No.: 320525197604303012

Notarized Matter: Signature

This is to certify that ZHU Yingxian, Entrusted Agent of Roche R&D Center  
(China) Ltd., subscribed his name to the foregoing **ASSIGNMENT  
AGREEMENT** on December 26, 2016 in Shanghai and the signing  
behavior is genuine.

SHEN Yuming (Seal)

Notary Public

The People's Republic of China

Shanghai Oriental Notary Public Office

(Seal)

Dated January 18, 2017

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