

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT5637068

|                                                                                                                                                                                                 |                                                 |                       |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------|-----------------------|
| <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                             | 08/22/2013            |
| <b>RECEIVING PARTY DATA</b>                                                                                                                                                                     |                                                 |                       |
| <b>Name:</b>                                                                                                                                                                                    | AUTIFONY THERAPEUTICS LIMITED                   |                       |
| <b>Street Address:</b>                                                                                                                                                                          | B205 IMPERIAL COLLEGE INCUBATOR                 |                       |
| <b>Internal Address:</b>                                                                                                                                                                        | LEVEL 1 BESSEMER BUILDING IMPERIAL COLLEGE      |                       |
| <b>City:</b>                                                                                                                                                                                    | LONDON                                          |                       |
| <b>State/Country:</b>                                                                                                                                                                           | UNITED KINGDOM                                  |                       |
| <b>Postal Code:</b>                                                                                                                                                                             | SW7 2AZ                                         |                       |
| <b>PROPERTY NUMBERS Total: 2</b>                                                                                                                                                                |                                                 |                       |
|                                                                                                                                                                                                 | <b>Property Type</b>                            | <b>Number</b>         |
|                                                                                                                                                                                                 | <b>Application Number:</b>                      | 14403048              |
|                                                                                                                                                                                                 | <b>Application Number:</b>                      | 15208329              |
| <b>CORRESPONDENCE DATA</b>                                                                                                                                                                      |                                                 |                       |
| <b>Fax Number:</b>                                                                                                                                                                              | (617)535-3800                                   |                       |
| <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>                                                                                                                                                                                   | 617-535-4093                                    |                       |
| <b>Email:</b>                                                                                                                                                                                   | cheath@mwe.com, cmeyer@mwe.com, pwiggin@mwe.com |                       |
| <b>Correspondent Name:</b>                                                                                                                                                                      | ROBERT H. UNDERWOOD                             |                       |
| <b>Address Line 1:</b>                                                                                                                                                                          | MCDERMOTT WILL & EMERY LLP                      |                       |
| <b>Address Line 2:</b>                                                                                                                                                                          | 28 STATE STREET                                 |                       |
| <b>Address Line 4:</b>                                                                                                                                                                          | BOSTON, MASSACHUSETTS 02109                     |                       |
| <b>ATTORNEY DOCKET NUMBER:</b>                                                                                                                                                                  | 091743-0055                                     |                       |
| <b>NAME OF SUBMITTER:</b>                                                                                                                                                                       | SUJATHA ROCHFORD                                |                       |
| <b>SIGNATURE:</b>                                                                                                                                                                               | /Sujatha Rochford/                              |                       |
| <b>DATE SIGNED:</b>                                                                                                                                                                             | 07/25/2019                                      |                       |
| <b>Total Attachments: 12</b>                                                                                                                                                                    |                                                 |                       |
| source=ASSIGNMENT09174300055#page1.tif                                                                                                                                                          |                                                 |                       |
| source=ASSIGNMENT09174300055#page2.tif                                                                                                                                                          |                                                 |                       |
| source=ASSIGNMENT09174300055#page3.tif                                                                                                                                                          |                                                 |                       |

source=ASSIGNMENT09174300055#page4.tif  
source=ASSIGNMENT09174300055#page5.tif  
source=ASSIGNMENT09174300055#page6.tif  
source=ASSIGNMENT09174300055#page7.tif  
source=ASSIGNMENT09174300055#page8.tif  
source=ASSIGNMENT09174300055#page9.tif  
source=ASSIGNMENT09174300055#page10.tif  
source=ASSIGNMENT09174300055#page11.tif  
source=ASSIGNMENT09174300055#page12.tif

# CONFIRMATORY ASSIGNMENT

WHEREAS I/WE:

Giuseppe ALVARO, Agostino MARASCO, Paolo DAMBRUOSO and Simona TOMMASI all citizens of Italy, Anne DÉCOR a citizen of France, and Dieter HAMPRECHT a citizen of Germany, 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 **1209019.7** was filed **22 May 2012**, priority application **1209020.5** was filed on **22 May 2012**, priority application **1209013.0** was filed on **22 May 2012**, priority application **1222393.9** was filed on **12 December 2012** all in the United Kingdom, and for which U.S. provisional priority application **61/702,337** was filed on **18 September 2012**, and for which PCT international application **PCT/GB2013/051347** was filed on **22 May 2013** (hereinafter referred to as "**the Applications**");

WHEREAS Paolo DAMBRUOSO, Simona TOMMASI, Anne DÉCOR and Dieter HAMPRECHT 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** was employed at the time of making certain subject matter of the **Invention and Improvements** by **GLAXOSMITHKLINE S.P.A.** and was 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 his 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 B205 Imperial College Incubator, Level 1 Bessemer Building

Imperial College, London, United Kingdom, SW7 2AZ, 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 **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 B205 Imperial College Incubator, Level 1 Bessemer Building Imperial College, London, United Kingdom, SW7 2AZ, 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, Anne DÉCOR and Dieter HAMPRECHT** 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 **Applications** based on the law of Italy), I/we **Paolo DAMBRUOSO, Simona TOMMASI, Anne DÉCOR and Dieter HAMPRECHT** 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 **Applications** 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 **Giuseppe ALVARO** 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 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** contract respectively, 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 **Applications** 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 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, Agostino MARASCO, Paolo DAMBRUOSO, Simona TOMMASI, Anne DÉCOR, Dieter HAMPRECHT 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:

 17.07.2013

Agostino MARASCO:

 17.07.2013

Paolo DAMBRUOSO:





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, Agostino MARASCO, Paolo DAMBRUOSO, Simona TOMMASI, Anne DÉCOR, Dieter HAMPRECHT 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:  | .....                  | .....                 |
| Agostino MARASCO: | .....                  | .....                 |
| Paolo DAMBRUOSO:  | <i>Paolo Dambrosio</i> | <i>August 2, 2013</i> |

Simona TOMMASI: Simona Tommasi 25th July 2013

Anne DÉCOR: \_\_\_\_\_

Dieter HAMPRECHT: \_\_\_\_\_

SIGNED by \_\_\_\_\_  
As the Attorney of **GLAXOSMITHKLINE S.P.A.**

\_\_\_\_\_ Date: \_\_\_\_\_

SIGNED by \_\_\_\_\_  
As the Attorney of **GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED.**

\_\_\_\_\_ Date: \_\_\_\_\_

SIGNED by \_\_\_\_\_  
As the Attorney of **GLAXO GROUP LIMITED.**

\_\_\_\_\_ Date: \_\_\_\_\_

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

Simona TOMMASI: \_\_\_\_\_

Anne DÉCOR: *A. Decor* July 25, 2008

Dieter HAMPRECHT: \_\_\_\_\_

SIGNED by \_\_\_\_\_  
As the Attorney of GLAXOSMITHKLINE S.P.A.,

\_\_\_\_\_ Date: \_\_\_\_\_

SIGNED by \_\_\_\_\_  
As the Attorney of GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED,

\_\_\_\_\_ Date: \_\_\_\_\_

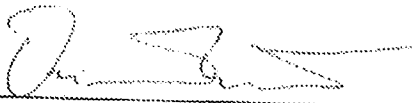
SIGNED by \_\_\_\_\_  
As the Attorney of GLAXO GROUP LIMITED,

\_\_\_\_\_ Date: \_\_\_\_\_

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

Simona TOMMASI: \_\_\_\_\_

Anne DÉCOR: \_\_\_\_\_

Dieter HAMPRECHT:  09 August 2013  
\_\_\_\_\_

SIGNED by \_\_\_\_\_  
As the Attorney of GLAXOSMITHKLINE S.P.A..

\_\_\_\_\_ Date: \_\_\_\_\_

SIGNED by \_\_\_\_\_  
As the Attorney of GLAXOSMITHKLINE RESEARCH AND DEVELOPMENT LIMITED.

\_\_\_\_\_ Date: \_\_\_\_\_

SIGNED by \_\_\_\_\_  
As the Attorney of GLAXO GROUP LIMITED.

\_\_\_\_\_ Date: \_\_\_\_\_

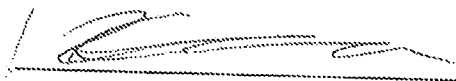
SIGNED by \_\_\_\_\_

Simona TOMMASI: \_\_\_\_\_

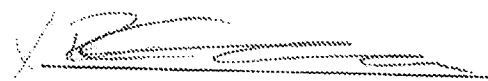
Anne DÉCOR: \_\_\_\_\_

Dieter HAMPRECHT: \_\_\_\_\_

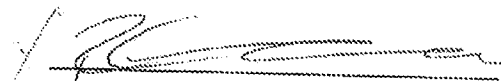
SIGNED by RICHARD L. EISEMAN  
As the Attorney and Authorised Official of GLAXOSMITHKLINE S.P.A.

 Date: 22 AUGUST 2013

SIGNED by RICHARD L. EISEMAN  
As the Attorney and Authorised Official of GLAXOSMITHKLINE RESEARCH AND  
DEVELOPMENT LIMITED.

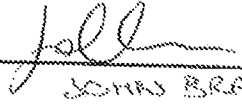
 Date: 22 AUGUST 2013

SIGNED by RICHARD L. EISEMAN  
As the Attorney and Authorised Official of GLAXO GROUP LIMITED.

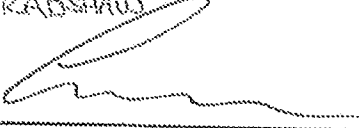
 Date: 22 AUGUST 2013

AUT-F1409PCY

As the Attorney of AUTIFONY SRL.

  
JOHN BRADSHAW

Date: 30/8/2017

SIGNED by 

As the Attorney of AUTIFONY THERAPEUTICS LIMITED.

CHARLES LARGE

Date: 28/8/2013