

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT5741859

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	CHANGE OF NAME	
CONVEYING PARTY DATA		
	Name	Execution Date
	PROTAGEN AG	02/09/2019
RECEIVING PARTY DATA		
Name:	PROTAGEN GMBH	
Street Address:	OTTO-HAHN-STR. 15	
City:	DORTMUND	
State/Country:	GERMANY	
Postal Code:	44227	
PROPERTY NUMBERS Total: 1		
	Property Type	Number
	Patent Number:	10060911
CORRESPONDENCE DATA		
Fax Number:	(202)408-4400	
<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:	202-408-4000	
Email:	pam.gebhardtsbauer@finnegan.com	
Correspondent Name:	FINNEGAN HENDERSON FARABOW GARRETT & DUNNER LLP	
Address Line 1:	901 NEW YORK AVE., NW	
Address Line 4:	WASHINGTON, D.C. 20001	
ATTORNEY DOCKET NUMBER:	15201.0002-00000	
NAME OF SUBMITTER:	PAMELA A. GEBHARDTSBAUER	
SIGNATURE:	/Pamela A. Gebhardtsbauer/	
DATE SIGNED:	09/27/2019	
Total Attachments: 5		
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RECORDATION FORM COVER SHEET
PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)

Protagen AG

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance/Execution Date(s):

Execution Date(s) September 2, 2019

- ☐ Assignment ☐ Merger
☐ Security Agreement ☒ Change of Name
☐ Joint Research Agreement
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License
☐ Other _____

2. Name and address of receiving party(ies)

Name: Protagen GmbH

Internal Address: _____

Street Address: Otto-Hahn-Str. 15

City: Dortmund

State: _____

Country: Germany Zip: 44227

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application or patent number(s):

☐ This document serves as an Oath/Declaration (37 CFR 1.63).

A. Patent Application No.(s)

B. Patent No.(s)

10,060,911

Additional numbers attached? ☐ Yes ☒ No

5. Name and address to whom correspondence concerning document should be mailed:

Name: FINNEGAN, HENDERSON ET AL.

Internal Address: _____

Street Address: 901 New York Ave., NW

City: Washington

State: District of Columbia Zip: 2001

Phone Number: (202) 408-4000

Docket Number: 15201.0002-00000

Email Address: _____

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41) \$ _____

- ☐ Authorized to be charged to deposit account
☐ Enclosed
☒ None required (government interest not affecting title)

8. Payment Information

Deposit Account Number _____

Authorized UserName _____

9. Signature: /Jessica L. Roberts/

September 27, 2019

Signature

Date

Jessica L. Roberts/Reg. No. 73,656

Name of Person Signing

Total number of pages including cover sheet, attachments, and documents:

5

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

PATENT

REEL: 050511 FRAME: 0943

Handelsregister B des Amtsgerichts Dortmund	Abteilung B Wiedergabe des aktuellen Registerinhalts Abruf vom 02.09.2019 17:41	Nummer der Firma: HRB 31196
Abdruck	Seite 1 von 2	

1. Anzahl der bisherigen Eintragungen:

1

2. a) Firma:

Protagen GmbH

b) Sitz, Niederlassung, inländische Geschäftsanschrift, empfangsberechtigte Person, Zweigniederlassungen:

Dortmund

Geschäftsanschrift: Otto-Hahn-Str. 15, 44227 Dortmund

c) Gegenstand des Unternehmens:

die Erforschung und Analyse von Proteinen und Genen und deren Vermarktung

3. Grund- oder Stammkapital:

1.181.584,00 EUR

4. a) Allgemeine Vertretungsregelung:

Ist nur ein Geschäftsführer bestellt, so vertritt er die Gesellschaft allein. Sind mehrere Geschäftsführer bestellt, so wird die Gesellschaft durch zwei Geschäftsführer oder durch einen Geschäftsführer gemeinsam mit einem Prokuristen vertreten.

b) Vorstand, Leitungsorgan, geschäftsführende Direktoren, persönlich haftender Gesellschafter, Geschäftsführer, Vertretungsberechtigte und besondere Vertretungsbefugnis:

Einzelvertretungsberechtigt:

Geschäftsführer: Hall, Frank Matthew Sunderland, Nether Winchendon / Vereinigtes Königreich, *16.06.1960

Geschäftsführer: Monaghan, Rita, Datteln, *12.10.1968

5. Prokura:

6. a) Rechtsform, Beginn, Satzung oder Gesellschaftsvertrag:

Gesellschaft mit beschränkter Haftung

Gesellschaftsvertrag vom 10.07.2019

b) Sonstige Rechtsverhältnisse:

Entstanden durch Umwandlung im Wege des Formwechsels der Protagen AG, Dortmund (Amtsgericht Dortmund, HRB 15399) nach Maßgabe des Beschlusses der Hauptversammlung vom 10.07.2019.

7. a) Tag der letzten Eintragung:

Handelsregister B des Amtsgerichts Dortmund	Abteilung B Wiedergabe des aktuellen Registerinhalts Abruf vom 02.09.2019 17:41	Nummer der Firma: HRB 31196
Abdruck	Seite 2 von 2	

02.09.2019

Commercial Register of the local court of Dortmund, Germany	Division B Reproduction of the current register content generated on 02.09.2019 17.41	Number of the company: HRB 31196
Imprint	Page 1 of 2	

1. Number of entries:

1

2. a) Name of the company:

Protagen GmbH

b) Registered office, legally independent branch office, principal place of office, authorised recipient, dependent branch office:

Dortmund

Business address: Otto-Hahn-Str. 15, 44227 Dortmund

c) Purpose of the company:

The research and analysis of proteins and genes and their commercialisation

3. Nominal or registered capital:

1,181,584.00 Euro

4. a) General policies of representation:

If only one managing director is appointed, he represents the company alone. If two or more managing directors are appointed, the company is represented by two managing directors or by one managing director together with an authorised person with general power of representation.

b) Owner, general partner, managing director, board of directors, authorised representatives and special powers of representation:

With individual power of disposal:

Managing director: Hall, Frank Matthew Sunderland, Nether Winchendon, United Kingdom, *16.06.1960

Managing director: Monaghan, Rita, Datteln, *12.10.1968

5. General power of representation:

6. a) Legal form, start date, articles of association or company agreement:

Private limited company

Company agreement of 10.07.2019

b) Other legal affairs:

Originated by conversion by the way of change of the legal form of Protagen AG, Dortmund (local court of Dortmund, HRB 15399) in accordance with the resolution of the Annual General Meeting on 10.07.2019

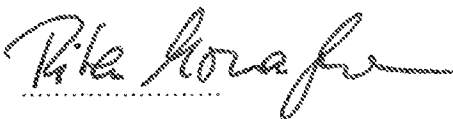
7. a) Date of the last entry:

Commercial Register of the local court of Dortmund, Germany	Division B Reproduction of the current register content generated on 02.09.2019 17.41	Number of the company: HRB 31196
Imprint	Page 2 of 2	

02.09.2019

I certify that this is an accurate translation from German of "Reproduction of the current register content of the Commercial Register of the local court of Dortmund, Germany, Division B generated on 02.09.2019 17.41"

Signature: _____



Name Rita Monaghan

Position: Chief Financial Officer, Protagen GmbH

Date: _____

25.09.2019