

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT5765688

|   |   |                       |
|---|---|-----------------------|
| <b>SUBMISSION TYPE:</b>   | NEW ASSIGNMENT                                    |                       |
| <b>NATURE OF CONVEYANCE:</b>  | SECURITY INTEREST                                 |                       |
| <b>CONVEYING PARTY DATA</b>   |   |                       |
|   | <b>Name</b>                                       | <b>Execution Date</b> |
|   | HAEMATOLOGIC TECHNOLOGIES, INC.                   | 10/11/2019            |
| <b>RECEIVING PARTY DATA</b>   |   |                       |
| <b>Name:</b>  | FIDUS INVESTMENT CORPORATION, AS COLLATERAL AGENT |                       |
| <b>Street Address:</b>  | 1603 ORRINGTON AVENUE                             |                       |
| <b>City:</b>  | EVANSTON  |                       |
| <b>State/Country:</b>   | ILLINOIS  |                       |
| <b>Postal Code:</b>   | 60201   |                       |
| <b>PROPERTY NUMBERS Total: 1</b>  |   |                       |
|   | <b>Property Type</b>                              | <b>Number</b>         |
|   | <b>Patent Number:</b>                             | 7604932               |
| <b>CORRESPONDENCE DATA</b>  |   |                       |
| <b>Fax Number:</b>  |   |                       |
| <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>   | 7043778156  |                       |
| <b>Email:</b>   | jcarusone@robinsonbradshaw.com                    |                       |
| <b>Correspondent Name:</b>  | JENNIFER CARUSONE                                 |                       |
| <b>Address Line 1:</b>  | 101 N. TRYON STREET, SUITE 1900                   |                       |
| <b>Address Line 2:</b>  | ROBINSON, BRADSHAW & HINSON, P.A.                 |                       |
| <b>Address Line 4:</b>  | CHARLOTTE, NORTH CAROLINA 28246                   |                       |
| <b>ATTORNEY DOCKET NUMBER:</b>  | 18865.00159                                       |                       |
| <b>NAME OF SUBMITTER:</b>   | JENNIFER CARUSONE                                 |                       |
| <b>SIGNATURE:</b>   | /Jennifer Carusone/                               |                       |
| <b>DATE SIGNED:</b>   | 10/11/2019  |                       |
| <b>Total Attachments: 3</b>   |   |                       |
| source=Fidus-HTI-Grant of Security Interest in Trademarks and Patents (Executed)#page1.tif  |   |                       |
| source=Fidus-HTI-Grant of Security Interest in Trademarks and Patents (Executed)#page2.tif  |   |                       |
| source=Fidus-HTI-Grant of Security Interest in Trademarks and Patents (Executed)#page3.tif  |   |                       |

**NOTICE OF GRANT OF SECURITY INTEREST  
IN PATENTS AND TRADEMARKS**

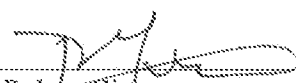
**WHEREAS, HAEMATOLOGIC TECHNOLOGIES, INC.** (the “Pledgor”) is the owner of the trademark applications and registrations listed on Schedule A attached hereto (all such trademarks, registrations and applications, collectively, the “Trademarks”) and is the owner of the patents and patent applications listed on Schedule A attached hereto (all such patents, registrations and applications, collectively, the “Patents”); and

**WHEREAS**, the Pledgor has entered into a Pledge and Security Agreement (as amended, modified, restated or supplemented from time to time, the “Security Agreement”), dated as of October 11, 2019, in which the Pledgor has agreed with **FIDUS INVESTMENT CORPORATION**, as Collateral Agent (the “Collateral Agent”), with offices at 1603 Orrington Avenue, Suite 1005, Evanston, IL 60201, to execute this Grant;

**NOW, THEREFORE**, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, as security for the payment and performance of the Secured Obligations (as defined in the Security Agreement), the Pledgor does hereby confirm the grant to the Collateral Agent a security interest in all of its right, title and interest in and to the Trademarks and the Patents, and the use thereof, together with all proceeds and products thereof and the goodwill of the businesses symbolized by the Trademarks. This Grant has been given in conjunction with the security interest granted to the Collateral Agent under the Security Agreement, and the provisions of this Grant are without prejudice to and in addition to the provisions of the Security Agreement.

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HAEMATOLOGIC TECHNOLOGIES, INC.

By:   
Name: Robert Giron  
Title: Secretary  
Date: October 11, 2019

**Schedule A**

**TRADEMARKS AND TRADEMARK APPLICATIONS**

| <u>Owner</u>                       | <u>Mark</u>                                       | <u>Application or<br/>Registration No.</u> | <u>Country</u> | <u>Issue or<br/>Filing Date</u> |
|------------------------------------|---|--|----------------|---------------------------------|
| Haematologic<br>Technologies, Inc. | Haematologic<br>Technologies, Inc.<br>(Word mark) | 3288052                                    | United States  | Sep 4, 2007                     |
| Haematologic<br>Technologies, Inc. | Haematologic<br>Technologies, Inc.<br>(Design)    | 3293834                                    | United States  | Sep 18, 2007                    |
| Haematologic<br>Technologies, Inc. | Haemtech<br>Biopharma Services<br>(Design)        | 4566920                                    | United States  | July 15, 2014                   |

**PATENTS AND PATENT APPLICATIONS**

| <u>Owner</u>                       | <u>Application or<br/>Registration No.</u> | <u>Country</u> | <u>Inventor</u>                      | <u>Issue or<br/>Filing Date</u>       |
|------------------------------------|--|----------------|--------------------------------------|---------------------------------------|
| Haematologic<br>Technologies, Inc. | 7,604,932                                  | United States  | Richard J. Jenny;<br>Saulius Butenas | October 20, 2009/<br>November 6, 2003 |