

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT5777277

<b>SUBMISSION TYPE:</b>	CORRECTIVE ASSIGNMENT	
<b>NATURE OF CONVEYANCE:</b>	Corrective Assignment to correct the ASSIGNEE ADDRESS previously recorded on Reel 050746 Frame 0431. Assignor(s) hereby confirms the ASSIGNEE ADDRESS IN THE CONFIRMATORY DEED OF ASSIGNMENT EFFECTIVE APRIL 8, 2019.	
<b>CONVEYING PARTY DATA</b>		
<b>Name</b>		<b>Execution Date</b>
ALCON RESEARCH, LLC		10/15/2019
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	NOVARTIS AG	
<b>Street Address:</b>	LICHTSTRASSE 35	
<b>City:</b>	BASEL 4056	
<b>State/Country:</b>	SWITZERLAND	
<b>PROPERTY NUMBERS Total: 39</b>		
<b>Property Type</b>	<b>Number</b>	
Patent Number:	6316441	
Patent Number:	6242442	
Patent Number:	6174878	
Patent Number:	6509355	
Patent Number:	6235781	
Patent Number:	6022699	
Patent Number:	6146622	
Patent Number:	6444710	
Patent Number:	6284749	
Patent Number:	6211238	
Patent Number:	6417228	
Patent Number:	6906077	
Patent Number:	6664286	
Patent Number:	6462080	
Patent Number:	7947295	
Patent Number:	8388941	
Patent Number:	8722735	
Patent Number:	8178582	
Patent Number:	8754123	

PATENT

Property Type	Number
Patent Number:	9144561
Patent Number:	8753666
Patent Number:	8101582
Patent Number:	7795316
Patent Number:	8323630
Patent Number:	8268299
Patent Number:	8173671
Patent Number:	7888370
Patent Number:	9707173
Patent Number:	8785497
Patent Number:	9044484
Patent Number:	9421265
Patent Number:	8921337
Patent Number:	9662398
Patent Number:	9533053
Patent Number:	8791154
Patent Number:	8450287
Application Number:	15493232
Application Number:	15284930
Application Number:	13861603

#### CORRESPONDENCE DATA

**Fax Number:** (216)579-6073

*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.*

**Phone:** 2165791700

**Email:** lhawkins@pearne.com

**Correspondent Name:** JOHN P. MURTAUGH/PEARNE & GORDON LLP

**Address Line 1:** 1801 EAST 9TH STREET, SUITE 1200

**Address Line 4:** CLEVELAND, OHIO 44114-3018

<b>ATTORNEY DOCKET NUMBER:</b>	BRAQ-J1427
<b>NAME OF SUBMITTER:</b>	JOHN P. MURTAUGH
<b>SIGNATURE:</b>	/johnpmurtaugh/
<b>DATE SIGNED:</b>	10/18/2019

#### Total Attachments: 9

source=BRAQ-J1427-CDOA-Conf-Receipt#page1.tif

source=BRAQ-J1427-CDOA-Conf-Receipt#page2.tif

source=BRAQ-J1427-CDOA-Conf-Receipt#page3.tif

source=BRAQ-J1427-CDOA-Conf-Receipt#page4.tif

source=BRAQ-J1427-CDOA-Conf-Receipt#page5.tif

source=BRAQ-J1427-CDOA-Conf-Receipt#page6.tif

source=BRAQ-J1427-CDOA-Conf-Receipt#page7.tif

source=BRAQ-J1427-CDOA-Conf-Receipt#page8.tif

source=BRAQ-J1427-CDOA-Conf-Receipt#page9.tif

**PATENT**

**REEL: 050767 FRAME: 0003**



# United States Patent and Trademark Office

Home | Site Index | Search | Guides | Contacts | eBusiness | eBiz  
alerts | News | Help



## Electronic Patent Assignment System

### Confirmation Receipt

Your assignment has been received by the USPTO.  
The coversheet of the assignment is displayed below:

#### PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1

Stylesheet Version v1.2

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT	
<b>NATURE OF CONVEYANCE:</b>	CONFIRMATORY DEED OF ASSIGNMENT EFFECTIVE APRIL 8, 2019	
<b>CONVEYING PARTY DATA</b>		
<b>Name</b>		<b>Execution Date</b>
ALCON RESEARCH, LLC		10/15/2019
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	NOVARTIS AG	
<b>Street Address:</b>	NOVARTIS CAMPUS FORUM 1	

<b>City:</b>	CH-4002 BASEL
--------------	---------------

<b>State/Country:</b>	SWITZERLAND
-----------------------	-------------

**PROPERTY NUMBERS Total: 39**

Property Type	Number
Patent Number:	6316441
Patent Number:	6242442
Patent Number:	6174878
Patent Number:	6509355
Patent Number:	6235781
Patent Number:	6022699
Patent Number:	6146622
Patent Number:	6444710
Patent Number:	6284749
Patent	

<b>Number:</b>	6211238
<b>Patent Number:</b>	6417228
<b>Patent Number:</b>	6906077
<b>Patent Number:</b>	6664286
<b>Patent Number:</b>	6462080
<b>Patent Number:</b>	7947295
<b>Patent Number:</b>	8388941
<b>Patent Number:</b>	8722735
<b>Patent Number:</b>	8178582
<b>Patent Number:</b>	8754123
<b>Patent Number:</b>	9144561
<b>Patent Number:</b>	8753666
<b>Patent</b>	

<b>Number:</b>	8101582
<b>Patent Number:</b>	7795316
<b>Patent Number:</b>	8323630
<b>Patent Number:</b>	8268299
<b>Patent Number:</b>	8173671
<b>Patent Number:</b>	7888370
<b>Patent Number:</b>	9707173
<b>Patent Number:</b>	8785497
<b>Patent Number:</b>	9044484
<b>Patent Number:</b>	9421265
<b>Patent Number:</b>	8921337
<b>Patent Number:</b>	9662398
<b>Patent</b>	

Number:	9533053
Patent Number:	8791154
Patent Number:	8450287
Application Number:	15493232
Application Number:	15284930
Application Number:	13861603

# **CORRESPONDENCE DATA**

**Fax Number:** (216)579-6073

**Phone:** 2165791700

**Email:** lhawkins@pearne.com

***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.***

**Correspondent Name:** JOHN P.  
MURTAUGH/PEARNE &  
GORDON LLP

**Address Line 1:** 1801 EAST 9TH STREET,  
SUITE 1200



<b>Address Line 4:</b>	CLEVELAND, OHIO 44114-3018
<b>ATTORNEY DOCKET NUMBER:</b>	BRAQ-1427
<b>NAME OF SUBMITTER:</b>	JOHN P. MURTAUGH
<b>Signature:</b>	/johnpmurtaugh/
<b>Date:</b>	10/17/2019
<b>Total Attachments: 3</b> source=CDOA AREA ASN NOV US signed#page1.tif source=CDOA AREA ASN NOV US signed#page2.tif source=CDOA AREA ASN NOV US signed#page3.tif	
<b>RECEIPT INFORMATION</b>  <b>EPAS ID:</b> PAT5774023 <b>Receipt Date:</b> 10/17/2019	

[Return to home page](#)

| [HOME](#) | [INDEX](#) | [SEARCH](#) | [eBUSINESS](#) | [CONTACT US](#) | [PRIVACY STATEMENT](#)

**Confirmatory Deed of Assignment  
United States of America**

THIS DEED is made between:

**Alcon Research, LLC**, a company duly organized and existing under the Laws of United States of America, of *6201 South Freeway, Fort Worth, TX 76134, United States of America*  
("the Assignor");

and

**Novartis AG**, a company duly organized and existing under the Laws of Switzerland, of *4002 Basel, Switzerland*  
("the Assignee");

WHEREAS:

- (a) The Assignor was the proprietor of the patents in the United States of America as set out in the attached schedules marked "Annex A" and
- (b) Pursuant to the Intellectual Property Assignment Agreement dated April 8<sup>th</sup>, 2019, Assignor has assigned Assignor's entire right, title and interest in and to the patents to Assignee.
- (c) The Assignment of the afore-mentioned patents became effective on the 8<sup>th</sup> day of April 2019.

IT IS AGREED THAT:


For good and valuable consideration, receipt of which is hereby acknowledged by the Assignor, the Assignor hereby confirms that it has assigned, transferred and set over unto the Assignee, its successors and assigns, effective on April, 8<sup>th</sup>, 2019, all right, title and interests in the **United States of America** in the patents together with the goodwill of the business represented and symbolised by the patents and the Assignee accepts the said assignment.

IN WITNESS WHEREOF, the Assignor and Assignee have caused this Confirmatory Assignment to be executed by their authorized representatives.

Signed as a Deed in Ljubljana on behalf of  
the **Assignor** this 15 day of October 2019 by

  
\_\_\_\_\_  
**Eva Margareta Krisper**, Proxy-Holder of  
**Alcon Research, LLC**

Signed as a Deed in Ljubljana on behalf of  
the **Assignee** this 15 day of October 2019  
by

  
\_\_\_\_\_  
**Ana Bobnar**, Proxy-Holder of  
**Novartis AG**

# Annex A

IP Right Name	Application No.	Publication No.	Grant No.
BRINZOLAMIDE AND BRIMONIDINE FOR TREATING GLAUCOMA	09/832998		6316441
BRINZOLAMIDE AND BRIMONIDINE FOR TREATING OCULAR CONDITIONS	09/601634		6242442
[THE] TOPICAL USE OF KAPPA OPIOID AGONISTS TO TREAT OTIC PAIN	09/387359		6174878
TREATMENT OF DISORDERS OF THE OUTER RETINA	09/807805		6509355
PROSTAGLANDIN PRODUCT	09/487936		6235781
MYELOPEROXIDASE ASSAY OF ENDOTOXIN-INDUCED INFLAMMATION	09/304320		6022699
USE OF CERTAIN ANIONIC AMINO ACID BASED SURFACTANTS TO ENHANCE ANTIMICROBIAL EFFECTIVENESS OF TOPICALLY ADMINISTABLE PHARMACEUTICAL COMPOSITIONS	09/399698		6146622
USE OF CERTAIN FATTY ACID/AMINO ACID SOAPS TO ENHANCE ANTIMICROBIAL EFFECTIVENESS OF TOPICALLY ADMINISTABLE PHARMACEUTICAL COMPOSITIONS	09/949198	2002-0035154	6444710
PRESERVATIVE SYSTEM FOR TOPICALLY ADMINISTABLE PHARMACEUTICAL COMPOSITIONS CONTAINING A FATTY ACID/AMINO ACID SOAP	09/400134		6284749
PRESERVATIVE SYSTEM FOR TOPICALLY ADMINISTABLE PHARMACEUTICAL COMPOSITIONS	09/400133		6211238
13-AZA PROSTAGLANDINS FOR THE TREATMENT OF GLAUCOMA AND OCULAR HYPERTENSION	09/430513		6417228
USE OF NEUROTROPHIC FACTOR STIMULATORS FOR THE TREATMENT OF OPHTHALMIC NEURODEGENERATIVE DISEASES	09/856987		6906077
SEROTONERGIC 5HT2 AGONISTS FOR TREATING GLAUCOMA	09/787332		6664286
PROSTAGLANDIN E RECEPTOR AGONISTS FOR TREATMENT OF DRY EYE	09/462719		6462080
OPHTHALMIC COMPOSITIONS CONTAINING A SYNERGISTIC COMBINATION OF TWO POLYMERS	11/673070	2007-0128156	7947295
SELF PRESERVED AQUEOUS PHARMACEUTICAL COMPOSITIONS	12/441995	2010-0021562	8388941
PHARMACEUTICAL COMPOSITIONS HAVING DESIRABLE BIOAVAILABILITY	13/252255	2012-0029073	8722735
PHARMACEUTICAL COMPOSITIONS HAVING DESIRABLE BIOAVAILABILITY	12/403529	2009-0234013	8178582
PHARMACEUTICAL COMPOSITIONS HAVING DESIRABLE BIOAVAILABILITY	13/442475	2012-0245227	8754123
PHARMACEUTICAL COMPOSITIONS HAVING DESIRABLE BIOAVAILABILITY	14/267668	2014-0243409	9144561
PUNCTAL PLUGS AND METHODS OF DELIVERING THERAPEUTIC AGENTS	12/022520	2008-0181930	8753666
TOPICAL OPHTHALMIC COMPOSITIONS	12/841414	2010-0286078	8101582

IP Right Name	Application No.	Publication No.	Grant No.
CONTAINING TOBRAMYCIN AND DEXAMETHASONE			
[IMPROVED] TOPICAL OPHTHALMIC COMPOSITIONS CONTAINING TOBRAMYCIN AND DEXAMETHASONE	11/960196		7795316
SELF-PRESERVED AQUEOUS PHARMACEUTICAL COMPOSITIONS	13/086950	2011-0195132	8323630
SELF-PRESERVED AQUEOUS PHARMACEUTICAL COMPOSITIONS	11/858781	2008-0075790	8268299
TOPICAL OPHTHALMIC OR OTIC SOLUTION FORMULATIONS CONTAINING MOXIFLOXACIN HYDROCHLORIDE AND DEXAMETHASONE PHOSPHATE	12/967250	2011-0082125	8173671
TOPICAL OPHTHALMIC OR OTIC SOLUTION FORMULATIONS CONTAINING MOXIFLOXACIN HYDROCHLORIDE AND DEXAMETHASONE PHOSPHATE	12/276823	2009-0137539	7888370
PHARMACEUTICAL SUSPENSION	12/630399	2010-0144719	9707173
STABILIZED PHARMACEUTICAL SUB-MICRON SUSPENSIONS AND METHODS OF FORMING SAME	15/493232	2017-0216228	
AQUEOUS OPHTHALMIC COMPOSITIONS CONTAINING ANIONIC THERAPEUTIC AGENTS	12/759803	2010-0266713	8785497
AQUEOUS PHARMACEUTICAL COMPOSITIONS CONTAINING BORATE-POLYOL COMPLEXES	12/817561	2010-0324031	9044484
AQUEOUS PHARMACEUTICAL COMPOSITIONS CONTAINING BORATE-POLYOL COMPLEXES	14/690617	2015-0224196	9421265
CARBOXYLVINYL POLYMER-CONTAINING NANOPARTICLE SUSPENSIONS	12/957864	2011-0135743	8921337
CARBOXYLVINYL POLYMER-CONTAINING NANOPARTICLE SUSPENSIONS	15/284930	2017-0020818	
CARBOXYLVINYL POLYMER-CONTAINING NANOPARTICLE SUSPENSIONS	14/539996	2015-0072011	9662398
TREATMENT FOR MICROBE-INDUCED INFLAMMATORY RESPONSES IN THE EYE	13/861603	2013-0274216	
HIGH CONCENTRATION OLOPATADINE OPHTHALMIC COMPOSITION	14/304124	2014-0296328	9533053
HIGH CONCENTRATION OLOPATADINE OPHTHALMIC COMPOSITION	13/475607	2012-0295967	8791154
TOPICAL OPHTHALMIC COMPOSITIONS CONTAINING TOBRAMYCIN AND DEXAMETHASONE	12841414		8450287