

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT5987687

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
MIN-FUN RUDOLF KWAN	04/18/2018
JOHNSON YIU-NAM LAU	05/03/2018
E. DOUGLAS KRAMER	05/10/2018
DAVID LAWRENCE CUTLER	04/19/2018
JANE FANG	04/19/2018
RECEIVING PARTY DATA	
Name:	ATHENEX, INC.
Street Address:	1001 MAIN STREET, SUITE 600
Internal Address:	CONVENTUS BUILDING
City:	BUFFALO
State/Country:	NEW YORK
Postal Code:	14203
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	16804092
CORRESPONDENCE DATA	
Fax Number:	(202)842-7899
<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:	6179372300
Email:	jsteinfield@cooley.com
Correspondent Name:	COOLEY LLP
Address Line 1:	1299 PENNSYLVANIA AVENUE NW
Address Line 2:	SUITE 700
Address Line 4:	WASHINGTON, D.C. 20004
ATTORNEY DOCKET NUMBER:	KINE-022/C01US
NAME OF SUBMITTER:	CHEN CHEN (REG. NO. 73384)
SIGNATURE:	/Chen Chen/
DATE SIGNED:	02/28/2020

Total Attachments: 9

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ASSIGNMENT

Min-Fun Rudolf KWAN, Johnson Yiu-Nam LAU, E. Douglas KRAMER, David Lawrence CUTLER, and Jane FANG (each referred to as "Assignor") have made an invention(s) (the "Invention(s)") set forth in an application for patent entitled **METHODS OF TREATING AND/OR PREVENTING ACTINIC KERATOSIS**, and which is a:

- (1) provisional application
 - (a) to be filed herewith; or
 - (b) bearing Application No. 62/469,889, and filed on March 10, 2017;
- (2) non-provisional application
 - (a) to be filed herewith; or
 - (b) bearing Application No. 15/918,100, and filed on March 12, 2018; and/or
- (3) PCT application
 - (a) bearing Application No. PCT/US2018/021929, and filed on March 12, 2018 and/or
- (4) attached hereto.

WHEREAS, Athenex, Inc., having its principal place of business at 1001 Main Street, Suite 600, Buffalo, NY 14203, its successors, legal representatives and assigns (the "Assignee"), is desirous of acquiring the entire right, title, and interest in: the Invention(s); the application(s) for patent identified above; the right to file applications for patent of the United States or other countries on the Invention(s); any application(s) for patent of the United States or other countries claiming priority to, and/or the benefit of, these applications; any provisional or other right to recover any and all past, present, and future damages, including royalties, for any and all past, present, and future infringements of these application(s); and any and all patent(s) of the United States or other countries that may be granted therefor or thereon.

NOW, THEREFORE, for good and sufficient consideration, the receipt of which is hereby acknowledged, and to the extent that the Assignor has not done so already via a prior agreement with the Assignee or a predecessor in interest of the Assignee, or if the Assignor has already done so via a prior agreement with the Assignee or a predecessor in interest of the Assignee then in confirmation of any obligation to do so in said prior agreement, the Assignor has sold, assigned, transferred, and set over, and by these presents

does sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns, the Assignor's entire right, title, and interest in:

- (a) the Invention(s);
- (b) the application(s) for patent identified above;
- (c) the right to file applications for patent of the United States or other countries on the Invention(s), including all rights under the Hague Convention, the Paris Convention for the Protection of Industrial Property, and under the Patent Cooperation Treaty, and all rights of claiming priority in any country of the world;
- (d) any application(s) for patent of the United States or other countries claiming the Invention(s);
- (e) any application(s) for patent of the United States or other countries claiming priority to, and/or the benefit of, at least one of the application(s) for patent identified above or any application(s) for patent claiming the Invention(s), including any priority application(s), substitute application(s), division(s), continuation(s), and continuation(s)-in-part;
- (f) any provisional or other right to recover any and all past, present, and future damages, including royalties, for any and all past, present, and future infringements of any application for patent identified in the preceding paragraphs (b)-(e) and of any and all patent(s) granted based thereon in the United States and in all other countries; and
- (g) any patent(s) of the United States or other countries that may be granted for or on any application for patent identified in the preceding paragraphs (b)-(e), including any reissue(s), reexamination(s), revival(s), renewal(s) and extension(s) of said patent(s).

The above-granted rights, titles, and interests are to be held and enjoyed by the Assignee, for its own use and behalf and the use and behalf of its successors, legal representatives, and assigns, as fully and entirely as the same would have been held and enjoyed by the Assignor had this sale and assignment not been made.

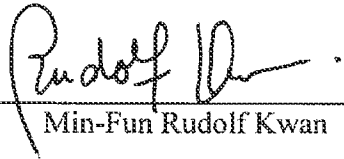
The Assignor hereby represents to the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, or if applicable, at such time said prior agreement was executed, the Assignor is a lawful owner of an undivided interest in the entire right, title, and interest in and to the Invention(s), that the Invention(s) are unencumbered, except, if applicable, by obligation to assign in accordance with said prior agreement, and that the Assignor has good and full right and lawful authority to sell and convey the same in the manner set forth herein, and that Assignor will not make or enter into any assignment, sale, agreement or encumbrance which would conflict with these presents.

The Assignor hereby covenants and agrees to and with the Assignee, its successors, legal representatives, and assigns, that the Assignor will sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done in connection with any and all proceedings for the procurement, maintenance, enforcement and defense of the Invention(s), said application(s), and said patent(s), including interference and derivation proceedings, and any post-grant proceedings (e.g., opposition proceedings, post-grant reviews, *Inter partes* reviews, supplemental examinations, etc.) without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns.

The Assignor hereby authorizes and requests the attorneys of COOLEY LLP to insert in the spaces provided above the filing date, the application number, and the attorney docket number of the application(s) identified above when known.

The Assignor hereby requests the Commissioner of Patents to issue said patents of the United States to the Assignee for the sole use and behalf of the Assignee, its successors, legal representatives, and assigns.

Date: 4-18-18

By: 
Min-Fun Rudolf Kwan

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of New York)
County of Erie) ss.

On 4/18/18, before me, Staci L. Holquist, Notary Public, personally appeared Min-Fun Rudolf Kwan, who proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Staci L. Holquist

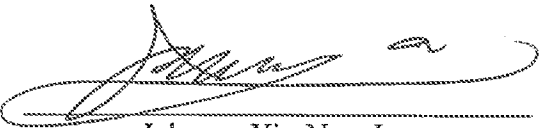
Signature of Notary Public

STACI L. HOLQUIST
Notary Public, State of New York
Qualified in Erie County
Commission Expires June 30, 2020

Place Notary Seal Above

My Commission Expires: June 30, 2020

Date: 5/3/2018

By: 
Johnson Yiu-Nam Lau

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State of New York)
County of Erie) ss.

On 5/3/18, before me, Staci L. Holquist, Notary Public, personally appeared Johnson Yiu-Nam Lau, who proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

~~Notary Public, State of New York, Commission Expires June 30, 2020~~
~~My Commission Expires June 30, 2020~~

WITNESS my hand and official seal.

Staci L. Holquist
Signature of Notary Public

STACI L. HOLQUIST
Notary Public, State of New York
Qualified in Erie County
Commission Expires June 30, 2020

Place Notary Seal Above

My Commission Expires: June 30, 2020

Date: 10 May 2018

By: 
E. Douglas Kramer

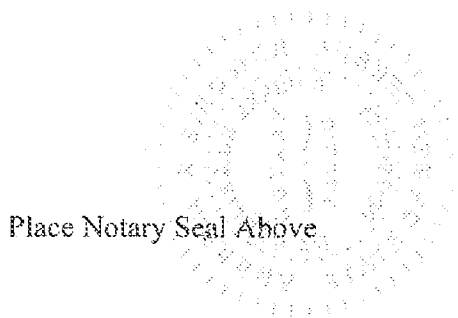
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State of New Jersey)
County of Union) ss.

On May 10, 2018 before me, Andreia Sirouer, Notary Public, personally appeared E. Douglas Kramer, who proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Andreia Sirouer
Signature of Notary Public



Place Notary Seal Above

My Commission Expires: May 6, 2020

Date: 4-19-18

By: *David Lawrence Cutler*
David Lawrence Cutler

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of New York)
County of Erie) ss.

On 4/19/18, before me, Staci L. Holquist, Notary Public, personally appeared David Lawrence Cutler, who proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Staci L. Holquist

Signature of Notary Public

STACI L. HOLQUIST
Notary Public, State of New York
Qualified in Erie County
Commission Expires June 30, 2020

Place Notary Seal Above

My Commission Expires: June 30, 2020

Date: April 19, 2018

By: Jane Fang
Jane Fang

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State of New York)
County of Erie) ss.

On 4/19/18, before me, Jane Fang, Notary Public, personally appeared Jane Fang, who proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

~~I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.~~

WITNESS my hand and official seal.

Staci L. Holquist
Signature of Notary Public

STACI L. HOLQUIST
Notary Public, State of New York
Qualified in Erie County
Commission Expires June 30, 2020

Place Notary Seal Above

My Commission Expires: June 30, 2020

For and on behalf of ASSIGNEE:

Date: May 16, 2018

By: [Signature]

Name: Teresa Bair
Title: Vice President
Corporate Development - Legal Affa
Company: Athenex, Inc.

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State of New York)
County of Erie) ss.

On May 16, 2018, before me, Staci L. Holquist, Notary Public, personally appeared Teresa Bair, who proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Staci L. Holquist
Signature of Notary Public

STACI L. HOLQUIST
Notary Public, State of New York
Qualified in Erie County
Commission Expires June 30, 2020

Place Notary Seal Above

My Commission Expires: June 30, 2020