

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

EPAS ID: PAT6978885

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
ADAM VORN PATTERSON	04/17/2018
JEFFREY BRUCE SMAILL	04/12/2018
AMIR ASHOORZADEH	04/12/2018
CHRISTOPHER PAUL GUISE	04/26/2018
CHRISTOPHER JOHN SQUIRE	04/12/2018
SWARNALATHA AKURATIYA GAMAGE	04/12/2018
MARIA ROSARIA ABBATTISTA	04/12/2018
MATTHEW ROY BULL	04/12/2018
ANGUS CHEVERTON GREY	04/12/2018
RECEIVING PARTY DATA	
Name:	AUCKLAND UNISERVICES LIMITED
Street Address:	LEVEL 10, 70 SYMONDS STREET
City:	AUCKLAND
State/Country:	NEW ZEALAND
Postal Code:	1010
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	16490717
CORRESPONDENCE DATA	
Fax Number:	
<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>	
Email:	areduta@fenwick.com
Correspondent Name:	GLENN J. FOULDS
Address Line 1:	801 CALIFORNIA STREET
Address Line 4:	MOUNTAIN VIEW, CALIFORNIA 94041
ATTORNEY DOCKET NUMBER:	36482-44476/US
NAME OF SUBMITTER:	GLENN J. FOULDS, REG. NO. 64,714
SIGNATURE:	/Glenn J. Foulds/

DATE SIGNED:	10/20/2021
Total Attachments: 13 source=44476US_ExecutedAssignment#page1.tif source=44476US_ExecutedAssignment#page2.tif source=44476US_ExecutedAssignment#page3.tif source=44476US_ExecutedAssignment#page4.tif source=44476US_ExecutedAssignment#page5.tif source=44476US_ExecutedAssignment#page6.tif source=44476US_ExecutedAssignment#page7.tif source=44476US_ExecutedAssignment#page8.tif source=44476US_ExecutedAssignment#page9.tif source=44476US_ExecutedAssignment#page10.tif source=44476US_ExecutedAssignment#page11.tif source=44476US_ExecutedAssignment#page12.tif source=44476US_ExecutedAssignment#page13.tif	

Deed of Assignment

THIS DEED OF ASSIGNMENT is made on the date of the last signature.

BETWEEN: **Adam Vorn Patterson**, a New Zealand citizen residing at 18 Manuka Road, Waiheke Island, Auckland, **and**

Jeffrey Bruce Smaill, a New Zealand citizen residing at 17 Parkfield Terrace, Grafton, Auckland, **and**

Amir Ashoorzadeh, a New Zealand citizen residing at 71 Burswood Drive, Burswood, Auckland, **and**

Christopher Paul Guise, a New Zealand citizen residing at 3 Celina Place, Browns Bay, Auckland, **and**

Christopher John Squire, a New Zealand citizen residing at C/- Auckland UniServices Limited, Level 10, UniServices House, 70 Symonds St, Auckland **and**

Swarnalatha Akuratiya Gamage, a New Zealand citizen residing at 6 Korau Rd, Greenlane, Auckland, **and**

Maria Rosaria Abbattista, a New Zealand citizen residing at C/- Auckland UniServices Limited, Level 10, UniServices House, 70 Symonds St, Auckland **and**

Matthew Roy Bull, a New Zealand citizen residing at C/- Auckland UniServices Limited, Level 10, UniServices House, 70 Symonds St, Auckland **and**

Angus Cheverton Grey, an Australian citizen residing at C/- Auckland UniServices Limited, Level 10, UniServices House, 70 Symonds St, Auckland.
(the "**Assignors**");

AND **Auckland UniServices Limited** incorporated under the law of New Zealand with company number 373821, whose registered office is at Level 10, UniServices House, 70 Symonds St, Auckland, New Zealand.
(the "**UniServices**").

BACKGROUND:

- A. UniServices is responsible for the management of the intellectual property rights of the University of Auckland (the "**University**"), and all those rights vest in UniServices by operation of a Deed of Agreement dated 27 February 1997.
- B. The Assignor is, or was at the relevant time, either an employee of or a student at the University. In the course of that relationship, the Assignor conducted research which resulted in the Assigned Rights.
- C. The Assignor acknowledges that UniServices is or should be the legal and beneficial owner of the Assigned Rights.

- D. To the extent that the Assignor has any right, title, or interest in or to the Assigned Rights or the Intellectual Property Rights, the Assignor has agreed to assign, and UniServices has agreed to accept, the Assigned Rights, subject to the terms and conditions of this deed. It is Agreed:

1. DEFINITIONS AND INTERPRETATION

- 1.1. The definitions and rules of interpretation in this clause apply in this deed.

Assigned Rights means the Intellectual Property Rights described in Schedule 1 and includes all related Intellectual Property Rights including:

the right to apply for and the right to be granted patents or other similar forms of protection in respect of the inventions described in Schedule 1 in any country;

- a. the right to claim priority under any international convention or agreement including the Paris Convention (as amended) from any patent application or applications referred to in paragraph (a) above;
- b. all rights conferred by any such patent(s) or similar forms of protection when granted;
- c. any future patent(s) and patent application(s) that are based on or derive priority from or have equivalent claims to any of the patents listed in Schedule 1 in any country in the world (including divisionals, continuations, continuations in part, supplementary protection certificates, reissues, extensions, innovation patents and petty patents).

Confidential Information means any and all information of the University or UniServices and/or any third party(s), whether scientific, technical, trade, business or information of any kind, which is treated by UniServices as confidential, whether or not that information is labelled or stated to be confidential, subject to the proviso below. Without limitation, this information includes techniques, formulations, equipment, tests, data, text, reports, compilations, tables, drawings, sketches, know-how, sources of supply, patent position, relationships with consultants and employees, business plans and business developments, information concerning the scope or activities of research, development, manufacturing, marketing or other projects, samples and materials; whether existing at the date of this deed or subsequently developed, and specifically including the Results.

Providing that "Confidential Information" does not include information:

- a. already in the public domain prior to the date of disclosure to the Assignor by or on behalf of UniServices; or
- b. demonstrated, from written records, to have been in the Assignor's possession from another source, not under obligation of secrecy to UniServices, prior to disclosure by UniServices; or
- c. that subsequently becomes part of the public domain through no fault of the Assignor.

Intellectual Property Rights means patents, utility models, rights to inventions, copyright and neighbouring and related rights, moral rights, trademarks, trade names, service marks and domain names, rights in get-up and trade dress, goodwill and the rights to sue for passing off or unfair competition, design rights, semi-conductor topography rights, database rights, confidential information (including know-how and trade secrets and the rights to use and protect confidential information) and all other intellectual property rights, in each case whether registered or unregistered and including all applications, registrations granted pursuant to any of the applications and rights to apply for and be granted, renewals or extensions of and rights to claim priority from such rights, and all similar or equivalent rights or forms of protection which subsist or will subsist now or in the future in any part of the world.

Results means the results of the Assignor's work, study and/or research relating to, or giving rise to, the Assigned Rights.

- 1.2. The Schedule forms part of this deed and shall have effect as if set out in full in the body of this deed. Any reference to this deed includes the Schedule.
- 1.3. Any words following the terms "including", "include" or any similar expression shall be construed as illustrative and shall not limit the sense of the words preceding those terms.

2. ASSIGNMENT

In consideration of the sum of one dollar (\$1) and for other good and valuable consideration (receipt of which the Assignor hereby acknowledges), the Assignor hereby assigns to UniServices absolutely with full title guarantee all its property, right, title and interest in and to:

- a. the Assigned Rights; and
- b. the right to bring and defend proceedings, and obtain and retain any relief recovered (including damages or an account of profits) in respect of any infringement, or any other cause of action arising from ownership, of any of the Assigned Rights whether occurring before, on, or after the date of this deed.

3. WARRANTIES

The Assignor warrants that to the best of his/her knowledge he/she is entitled to assign all rights referred to in clause 2 to UniServices, and that no third party has any proprietary or similar rights in respect of the Assigned Rights, other than as has been previously disclosed to UniServices by the Assignor. In particular, the Assignor warrants that he/she has no and will not receive any funding in respect of his/her research relating to the Assigned Rights which could compromise his/her ability to comply with the provisions of this deed.

4. UNDERTAKING

To the extent permitted by law, the Assignor irrevocably and unconditionally waives all moral rights relating to the Assigned Rights everywhere in the world to the fullest extent permitted by law, and agrees not to assert any such rights against UniServices or any other person.

5. CONFIDENTIALITY AND PUBLICATION

- 5.1 Except in accordance with a direction by, or prior written approval from, UniServices the Assignor will not at any time either directly or indirectly use, publish or disclose to any person, and will use his/her best endeavours to prevent the use, publication or disclosure of, any Confidential Information and, where appropriate, will take all reasonable steps to prevent access by third parties to such Confidential Information.
- 5.2 If the Assignor is reasonably of the view that disclosure of any Confidential Information to a third party is necessary, he/she must seek the prior written approval of UniServices by submitting a written proposal to UniServices stating to whom he/she considers such disclosure to be necessary and why.
- 5.3 When the Assignor is a student and completes a thesis, the Assignor shall inform UniServices and make a copy available to UniServices, on request. If the thesis is deemed by UniServices to contain commercially sensitive information it shall co-ordinate with the University to not release the thesis to any examiner until the examiner has signed a confidentiality agreement with UniServices or the University. If the thesis includes potentially protectable Intellectual Property Rights, UniServices may request the Assignor and the University that such Intellectual Property Rights in the thesis be sequestered in a confidential annex to the thesis, or that any disclosure of the entire thesis be subject to an embargo, including for the purpose of applying for patent protection. Any such embargo shall be for no longer than the maximum period of time allowed under the University's regulations. For the avoidance of doubt, it is agreed that the maximum embargo period allowed is currently a period of one year, which may be renewed for a further period of one year (Reference: University of Auckland Calendar 2002, Page 36, Paragraph 23 (d)).
- 5.4 UniServices acknowledges that the right to publish the Results in scientific articles is the Assignor's. However, the Assignor agrees that a copy of any scientific article (including any poster, abstract, full paper or intended oral presentation) arising from the research must be supplied to UniServices for review at least one month prior to its submission or presentation, and it shall not be submitted for publication or disclosed without the prior written approval of UniServices. UniServices may require the removal of any commercially sensitive information and/or may require that the submission or presentation be deferred for a maximum of three months to allow for the filing of applications to protect any Intellectual Property Rights.
- 5.5 The Assignor will ensure that laboratory recording books, computer disks, or other media relating to the Results are kept confidential and that these documents or records are left with the University when the Assignor is no longer an Assignor or employee of the University.

- 5.6 The Assignor will not use any Confidential Information for any purpose other than to carry out research or as otherwise set out in this deed and, in particular, will not use any Confidential Information for his/her own benefit (whether financial or otherwise).
- 5.7 The restrictions contained in this clause 5 will continue to apply without limit in point of time, but will cease to apply to knowledge or information which becomes public through no fault of the Assignor.
- 5.8 UniServices acknowledges that it cannot, by virtue of this deed or otherwise, unreasonably or arbitrarily:
- a. restrict the Assignor's ability to submit her thesis to the University or any examiner, except in accordance with clause 5.3; or
 - b. withhold approval for the Assignor to publish the results of his or her research in scientific articles, except in accordance with clause 5.4 or applicable University policies.

6. MISCELLANEOUS PROVISIONS

- 6.1 **Waiver:** No failure or delay by any party in exercising any right, power or privilege under his deed will operate as a waiver of such right, power or privilege, nor will any single or partial exercise preclude any other or further exercise of any right, power or privilege under this deed.
- 6.2 **Counterparts:**
- a. This deed may be executed in any number of counterparts (including facsimile and electronically scanned copies) all of which, when taken together, will constitute one and the same instrument.
 - b. A party may enter into this deed by executing any counterpart. The parties acknowledge that this deed may be executed on the basis of an exchange of facsimile or electronically scanned copies and confirm that their respective execution of this deed by such means will be a valid and sufficient execution.
- 6.3 **Governing Law:** The formation, validity, construction and performance of this deed will be governed by and construed in accordance with this deed will be governed by and construed in accordance with the laws of New Zealand. The parties irrevocably agree that the Courts of New Zealand will have a non-exclusive jurisdiction to hear and determine all disputes under or in connection with this deed. The parties irrevocably waive any objections to New Zealand as the forum for proceedings on the grounds of forum non-conveniens or any similar grounds.
- 6.4 **Independent Advice:** The Assignor acknowledges that UniServices or the Assignor's university supervisor has advised him/her to obtain independent legal advice in respect of any aspect of this deed about which they have any uncertainty, and that the Assignor has had sufficient time and opportunity to obtain such advice.
- 6.5 **Entire Agreement:** This deed constitutes the entire agreement between the parties. Any prior arrangements, agreements, representations or undertakings are hereby superseded.

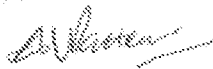

- 6.6 **Variation:** This deed may be amended at any time by agreement in writing between the parties.
- 6.7 **Good Faith:** UniServices agrees at all times to act in good faith in its dealings with the Assignor pursuant to this deed, and to endeavour to support and further the Assignor's career.
- 6.8 **Further Assurances:** If requested by UniServices, the Assignor will, at UniService's expense, execute all documents, give such assistance and do all other acts and things as may be necessary or desirable to give effective to the assignment in this deed and to enable UniServices to prosecute, maintain, renew, enforce and defend the Assigned Rights.

This document has been executed as a deed and is delivered and takes effect on the date it is last signed.

Executed as a deed, but not delivered until the first date specified on page 1, by

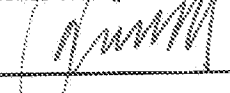

Adam Vorn Patterson

in the presence of a witness:

	
Signature	Witness Signature
Adam Vorn Patterson	Adrian Blaser
Name	Witness Name
17-04-2018	Richmond
Date	Witness City of Residence
	17/04/2018
	Date

Jeffrey Bruce Smalll

in the presence of a witness:

	
Signature	Witness Signature
Jeffrey Bruce Smalll	Adrian Blaser
Name	Witness Name
12 April 2018	157B Colwill Rd, Mosley, Aot
Date	Witness address
	12 / 04 / 2018
	Date

Amir Ashoorzadeh
in the presence of a witness:

Signature

Amir Ashoorzadeh

Name

Date

12/04/2018

Witness Signature

Anna Claire Giddens

Witness Name

Auckland

Witness City of Residence

Date

12/4/2018

Christopher Paul Guise
in the presence of a witness:

Signature

Christopher Paul Guise

Name

Date

Witness Signature

Witness Name

Witness City of Residence

Date

Christopher John Squire
in the presence of a witness

Signature

Christopher John Squire

Name

Date

Witness Signature

Witness Name

Witness City of Residence

Date

Amir Ashoorzadeh
in the presence of a witness:

Signature

Amir Ashoorzadeh

Name

Date

Witness Signature

Witness Name

Witness City of Residence

Date

Christopher Paul Guise
in the presence of a witness:

Signature

Christopher Paul Guise

Name

Date

26th April 2018

Witness Signature

Witness Name

Witness City of Residence

Date

Christopher Paul Guise
Alicia Furlay
Auckland
26.04.18

Christopher John Squire
in the presence of a witness

Signature

Christopher John Squire

Name

Date

Witness Signature

Witness Name

Witness City of Residence

Date

Amir Ashoorzadeh

in the presence of a witness:

Signature	Witness Signature
Amir Ashoorzadeh	
Name	Witness Name
Date	Witness City of Residence
	Date

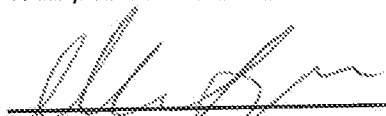
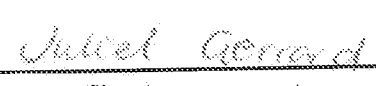
Christopher Paul Guise

in the presence of a witness:

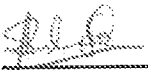

Signature	Witness Signature
Christopher Paul Guise	
Name	Witness Name
Date	Witness City of Residence
	Date

Christopher John Squire

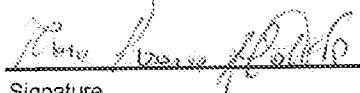
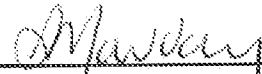
in the presence of a witness

	
Signature	Witness Signature
Christopher John Squire	JULIET A. GERARD
Name	Witness Name
12/04/2018	MUCKLENO
Date	Witness City of Residence
	12th April 2018
	Date

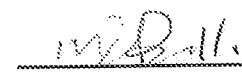
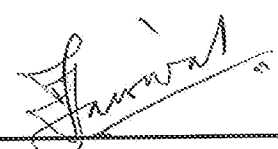
Swarnalatha Akuratiya Gamage
in the presence of a witness:

	
Signature	Witness Signature
Swarnalatha Akuratiya Gamage	Benjamin Debon
Name	Witness Name
12/04/18	Auckland
Date	Witness City of Residence
	12/04/2018
	Date

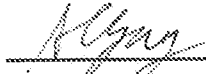
Maria Rosaria Abbattista
in the presence of a witness:

	
Signature	Witness Signature
Maria Rosaria Abbattista	Alexandra Mawday
Name	Witness Name
12/04/18	Auckland
Date	Witness City of Residence
	12/4/18
	Date

Matthew Roy Bull
in the presence of a witness:

	
Signature	Witness Signature
Matthew Roy Bull	
Name	Witness Name
12/4/18	JAGDISH K. JAISWAL
Date	Witness City of Residence
	AUCKLAND
	Date 12-4-2018

Angus Cheverton Grey
in the presence of a witness:



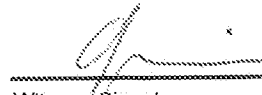
Signature

Angus Cheverton Grey

Name

12/4/18

Date



Witness Signature

Julie Spier

Witness Name

Auckland

Witness City of Residence

12/4/18

Date

Executed as a deed, but not delivered until the first
date specified on page 1, by
AUCKLAND UNISERVICES LIMITED



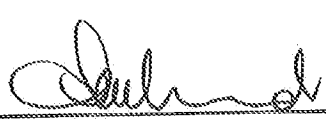
Director Signature

JAMES METSON

Director Name

03 MAY 2018

Date



Director Signature

Adrienne Cleland

Director Name

3 May 2018

Date

SCHEDULE 1

Details of Patents:

Country or territory	Application or publication number	Date of filing or registration	Title / Description
PCT	PCT/NZ2018/050022	2/03/2018	FGFR Kinase Inhibitors and Pharmaceutical Uses

34757 - FGFR Kinase Inhibitors and Pharmaceutical Uses - PCT/NZ2018/050022