

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT7435934

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	CHANGE OF NAME
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
ESBATECH, AN ALCON BIOMEDICAL RESEARCH UNIT LLC	02/20/2014
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ESBATECH, A NOVARTIS COMPANY LLC
<b>Street Address:</b>	WAGISTRASSE 27
<b>City:</b>	SCHLIEREN
<b>State/Country:</b>	SWITZERLAND
<b>Postal Code:</b>	8952
<b>PROPERTY NUMBERS Total: 11</b>	
<b>Property Type</b>	<b>Number</b>
Application Number:	12823551
Application Number:	13765302
Application Number:	14644441
Application Number:	15195411
Application Number:	16879978
Application Number:	61220503
Application Number:	12823488
Application Number:	13765326
Application Number:	14706484
Application Number:	15193432
Application Number:	16005138
<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>Email:</b>	ipdocketing@arnoldporter.com, angela.cox@arnoldporter.com, bonnie.qin@arnoldporter.com
<b>Correspondent Name:</b>	ARNOLD & PORTER KAYE SCHOLER LLP
<b>Address Line 1:</b>	601 MASSACHUSETTS AVE., NW
<b>Address Line 4:</b>	WASHINGTON, D.C. 20001-3743

<b>NAME OF SUBMITTER:</b>	CHUNBO QIN
<b>SIGNATURE:</b>	/Chunbo Qin/
<b>DATE SIGNED:</b>	07/18/2022
<b>Total Attachments: 6</b> source=Change of Name - ESBATech an Alcon Biomedical Research Unit LLC to ESBATech a Novartis Company LLC#page1.tif source=Change of Name - ESBATech an Alcon Biomedical Research Unit LLC to ESBATech a Novartis Company LLC#page2.tif source=Change of Name - ESBATech an Alcon Biomedical Research Unit LLC to ESBATech a Novartis Company LLC#page3.tif source=Change of Name - ESBATech an Alcon Biomedical Research Unit LLC to ESBATech a Novartis Company LLC#page4.tif source=Change of Name - ESBATech an Alcon Biomedical Research Unit LLC to ESBATech a Novartis Company LLC#page5.tif source=Change of Name - ESBATech an Alcon Biomedical Research Unit LLC to ESBATech a Novartis Company LLC#page6.tif	



## COMMERCIAL REGISTER OF CANTON ZURICH

Identification number	Legal status	Entry	Cancelled	Carried CH-020.3.021.104-7 from: CH-020.3.021.104-7/a on:	1
CHE-104.809.432	Limited liability company	04.09.1998			



All data

In	Ca	Business name	Ref	Legal seat
2		ESBATEch AG	1	Schlieren
2		(ESBATEch SA) (ESBATEch Inc)		
6		ESBATEch, an Alcon Biomedical Research Unit GmbH		
6		(ESBATEch, an Alcon Biomedical Research Unit Sarl) (ESBATEch, an Alcon Biomedical Research Unit LLC)		
6		ESBATEch, a Novartis Company GmbH		
6		(ESBATEch, a Novartis Company Sarl) (ESBATEch, a Novartis Company LLC)		
6		ESBATEch, a Novartis company GmbH		
6		(ESBATEch, a Novartis company Sarl) (ESBATEch, a Novartis company LLC)		

Ref	Capital	In	Md	Ca	Shares	Partner (see personalities)	In	Ca	Company address
1	43'964'424.00	2			1x13'964'424.00	Alcon Research Ltd., in Fort Worth (TX)	1	11	Wagistrasse 24 8952 Schlieren
2	13'964'424.00						11		Wagistrasse 12 8952 Schlieren

In	Ca	Purpose	In	Ca	Postal address
1	2	Identification and optimization of substances which then can be used in drug development; can participate in other corporations, and can acquire, encumber, sell and manage real property.	1		
2		The purpose of the company is to identify and optimize substances which can then be used in drug development. The company can set up branches and subsidiaries at home and abroad and acquire, hold, sell or finance any type of corporation. The company can acquire, hold and sell real estate. It can carry out all commercial activities that are directly or indirectly related to the purpose of the company and take all measures that appear to be appropriate to further the purpose of the company or are related to it.			

In	Ca	Remarks	Ref	Date of the acts
1		Capital increase in the amount of CHF 34,500.-- from conditional share capital.	1	01.09.1998
1		Ordinary increase in share capital.	1	24.05.2000
1		Capital increase from authorized share capital.	1	27.04.2001
1		Capital increase from conditional share capital.	1	25.10.2001
1	2	With a resolution dated 04.05.2009, the company approved a conditional capital increase as described in more detail in the bylaws.	1	08.05.2002
1	2	In case of Art. 10, the notification to the registered shareholders is made to the last address entered into the share register by letter or by fax. In all other cases, the notifications can be made by publication in the publication medium.	1	13.11.2002
1	2	The transferability of the registered shares is limited as provided by the bylaws.	1	19.11.2002
1	2	Preferred shares grant preferential rights with respect to the acquisition of new shares and liquidation proceeds according to the bylaws.	1	23.02.2004
1		Preferred shares grant preferential rights with respect to the acquisition of new shares and liquidation proceeds according to the bylaws.	1	19.04.2004
1		In the case of the capital reduction on 30.06.2006 / 02.08.2006, the nominal value of 460,320 registered shares at CHF 10.-- (preferred shares) will be reduced to CHF 4.-- and 11,500 registered shares at CHF 10.-- will be reduced to CHF 4.--.	1	21.01.2005
1		At the same time, 725,806 fully paid registered shares at CHF 4.-- (preferred shares) are issued.	1	11.02.2005
1		At the same time, 725,806 fully paid registered shares at CHF 4.-- (preferred shares) are issued.	1	30.06.2006
2		Notifications to the shareholders are made in writing, by letter, email or fax.	1	02.08.2006
2		Modalities of assignment of the ordinary shares that differ from the law in accordance with the bylaws.	1	26.04.2007
			1	09.10.2007
			1	25.06.2008
			1	21.07.2008
			1	18.12.2008
			1	07.04.2009



# COMMERCIAL REGISTER OF CANTON ZURICH

CHE-104.809.432	ESBATEch, a Novartis company GmbH	Schlieren	2
-----------------	-----------------------------------	-----------	---

All dates

In	Ca	Remarks	Ref	Date of the acts
			1	04.05.2009
			2	08.10.2009
			6	20.01.2012
			9	15.01.2013

In	Ca	Qualified facts	Ref	Official publication
1		Assets transfer: ESBATEch AG transfers in accordance with the contract dated 19.09.2006 assets of CHF 231,259.-- and liabilities (outside capital) of CHF 0.-- to Oncalis AG in Schlieren (CH-020.3.030.003-2). Consideration: CHF 231,259.--	1	SHAB
2		Conversion: In accordance with the conversion plan dated 06.10.2009 and the balance sheet as of 30.04.2009 with assets of CHF 27,874,606.00 and liabilities (outside capital) of CHF 3,335,527.00, the company is converted into a limited liability company. The sole shareholder receives 1 ordinary share at CHF 13,964,424.00.		
In	Ca	Additional payments and statutory duty of accessory payments	In	Ca
				Branch offices

Vis	Ref	No journal	Date	SOGC	Date SOGC	Page / Id	Vis	Ref	No journal	Date	SOGC	Date SOGC	Page / Id
ZH	1	37316	24.09.2009	199	30.09.2009	28 / 6270060	ZH	7	B 5754	13.02.2012	B 33	16.02.2012	6552850
ZH	2	39998	13.10.2009	202	19.10.2009	34 / 5298900	ZH	8	39904	21.11.2012	230	26.11.2012	6946438
ZH	3	45464	20.11.2009	230	26.11.2009	22 / 5361862	ZH	9	1990	21.01.2013	16	24.01.2013	7031432
ZH	4	7864	24.02.2011	42	01.03.2011	8056394	ZH	10	33097	17.10.2013	204	22.10.2013	1138539
ZH	5	22787	23.05.2011	123	28.06.2011	6225112	ZH	11	1752	15.01.2014	12	20.01.2014	1293821
ZH	6	3278	24.01.2012	19	27.01.2012	6522934							

In	Mo	Ca	Personal data	Function	Signature
1		2m	Roper, Jeffrey L., American citizen, in Kennedale (TX, US)	member of the board of directors	single signature
1		2m	Escher, Dominik, from Zurich, Housen am Albis	director	joint signature at two
1		2	Ernst & Young AG, in Aarau	auditor	joint signature at two
1		8	Schuh, Andreas, Austrian citizen, in Geneva,	director	joint signature at two
2		4m	Escher, Dominik, from Zurich, in Zug	director	joint signature at two
2		9	Roper, Jeffrey L., American citizen, in Kennedale (TX, US)	manager	single signature
2			Alcon Research Ltd., in Fort Worth (TX, US)	partner	
2		5	Ernst & Young AG (CH-270.3.012.140-6), in Basel	auditor	
3		9	Markabi, Dr. Sabri, French citizen, in Benbrook (TX, US)	president of the management	single signature
3		8	Beck, Jeanne, American citizen, in Villars-sur-Glâne		single signature
4		9m	Escher, Dominik, from Zurich, in Hünenberg	director	joint signature at two
4			Schmidt, Annette, German citizen, in Zurich		joint signature at two
4			Steiner, Peter, von Schänis, in Wädenswil		joint signature at two
4			von Schulthess Rechberg, Konstantin, from Zurich, in Zollikon		joint signature at two
5			PricewaterhouseCoopers AG (CH-020.9.001.009-7), in Winterthur	auditor	
6		10	Gaudreault, Jacques, Canadian citizen, in Basel		joint signature at two
6		7m	Weisegerber, Georges Charles, French citizen, in Zurich		joint signature at two
7			Weisegerber, Georges Charles, French citizen, in Zurich		joint signature at two
8			Ryter Ciampi, Lea, from Kandergrund, in Olten		joint signature at two
8			Pfirtter, Simone Doris, from Pratteln, in Pratteln		joint signature at two
9			Escher, Dominik, from Zurich, in Hünenberg	manager	joint signature at two
9			Klee, Christian, from Diepfingen and Rüeggisberg, in Winchester (MA/US)	president of the management	joint signature at two

Zurich, 20.02.2014 21:43

Continuation on the following page



# COMMERCIAL REGISTER OF CANTON ZURICH

CHE-104.889.432	ESBATech, a Novartis company GmbH	Schlieren	3
-----------------	-----------------------------------	-----------	---

All dates

In	Mo	Ca	Personal data	Function	Signature
9			Brenneisen, Pascal Andreas, from Basel, in Riehen	manager	joint signature at two
9			Dryja, Thaddeus P., American citizen, in Milton (MA/US)	manager	joint signature at two
9			Scheibler, Lukas, from Oftringen, in Fort Worth (TX/US)	manager	joint signature at two
10			Maurer, Patrik, German citizen, in Winterthur		joint signature at two

Zürich, 20.02.2014 21:43

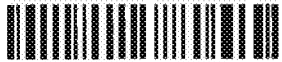
The information above is given with no commitment and is in no way legally binding. Only the company record (extract) issued and certified by the commercial Registry Office of Zurich and the text published in the Swiss Commercial Gazette are binding.

The information above is given with no commitment and is in no way legally binding.



# COMMERCIAL REGISTER OF CANTON ZURICH

Identification number <b>CHE-104.809.432</b>	Legal status <b>Limited liability company</b>	Entry 04.09.1998	Cancelled	Carried CH-020.3.021.104-7 from: CH-020.3.021.104-7/a on:	<b>1</b>
-------------------------------------------------	--------------------------------------------------	---------------------	-----------	-----------------------------------------------------------------	----------



All datas

In	Ca	Business name	Ref	Legal seat
1	2	<b>ESBATEch AG</b>	1	Schlieren
1	2	(ESBATEch SA) (ESBATEch Inc)		
2	6	ESBATEch, an Alcon Biomedical Research Unit GmbH		
2	6	(ESBATEch, an Alcon Biomedical Research Unit Sàrl) (ESBATEch, an Alcon Biomedical Research Unit LLC)		
6	9	ESBATEch, a Novartis Company GmbH		
6	9	(ESBATEch, a Novartis Company Sàrl) (ESBATEch, a Novartis Company LLC)		
9		<b>ESBATEch, a Novartis company GmbH</b>		
9		(ESBATEch, a Novartis company Sàrl) (ESBATEch, a Novartis company LLC)		

Ref	Capital	In	Mo	Ca	Shares	Partner (see personalities)	In	Ca	Company address
1	13'964'424.00	2			1x13'964'424.00	Alcon Research Ltd., in Fort Worth (TX)	1	11	Wagistrasse 24 8952 Schlieren
2	13'964'424.00						11		Wagistrasse 12 8952 Schlieren

In	Ca	Purpose	In	Ca	Postal address
1	2	<b>Identifizierung und Optimierung von Substanzen, welche anschliessend in der Medikamentenentwicklung eingesetzt werden können; kann sich an anderen Unternehmungen beteiligen sowie Grundeigentum erwerben, belasten, veräussern und verwalten.</b>	1		
2		Die Gesellschaft bezweckt die Identifizierung und Optimierung von Substanzen, welche anschliessend in der Medikamentenentwicklung eingesetzt werden können. Die Gesellschaft kann Zweigniederlassungen und Tochtergesellschaften im In- und Ausland errichten und jede Art von Unternehmen erwerben, halten, veräussern oder finanzieren. Die Gesellschaft kann Grundstücke erwerben, halten und veräussern. Sie kann alle kommerziellen Tätigkeiten ausüben, welche direkt oder indirekt mit dem Zweck der Gesellschaft im Zusammenhang stehen, und alle Massnahmen ergreifen, die den Gesellschaftszweck angemessen zu fördern scheinen oder mit diesem im Zusammenhang stehen.			

In	Ca	Remarks	Ref	Date of the acts
1		Kapitalerhöhung in der Höhe von CHF 34'500.-- aus bedingtem Aktienkapital.	1	01.09.1998
1		Ordentliche Erhöhung des Aktienkapitals.	1	24.05.2000
1		Kapitalerhöhung aus genehmigten Aktienkapital.	1	27.04.2001
1		Kapitalerhöhung aus bedingtem Aktienkapital.	1	25.10.2001
1	2	Die Gesellschaft hat mit Beschluss vom 04.05.2009 eine bedingte Kapitalerhöhung gemäss näherer Umschreibung in den Statuten beschlossen.	1	08.05.2002
1	2	Die Mitteilungen an die Namenaktionäre erfolgen im Falle von Art.10 an ihre letzte im Aktienbuch eingetragene Adresse durch Brief oder per Telefax. In allen anderen Fällen können die Mitteilungen durch Veröffentlichung im Publikationsorgan erfolgen.	1	13.11.2002
1	2	Die Übertragbarkeit der Namenaktien ist nach Massgabe der Statuten beschränkt.	1	19.11.2002
1	2	Die Vorzugsaktien gewähren Vorrechte bezüglich Bezug neuer Aktien und Liquidationserlös gemäss Statuten.	1	23.02.2004
1	2	Die Vorzugsaktien gewähren Vorrechte bezüglich Bezug neuer Aktien und Liquidationserlös gemäss Statuten.	1	19.04.2004
1		Bei der Kapitalherabsetzung vom 30.06.2006/02.08.2006 wird der Nennwert der 460'320 Namenaktien zu CHF 10.-- (Vorzugsaktien) auf CHF 4.-- und 11'500 Namenaktien zu CHF 10.-- auf CHF 4.-- herabgesetzt. Gleichzeitig werden 725'806 voll liberierte Namenaktien zu CHF 4.-- (Vorzugsaktien) ausgegeben.	1	21.01.2005
1			1	11.02.2005
1			1	30.06.2006
2		Mitteilungen an die Gesellschafter erfolgen schriftlich, per Brief, E-Mail oder Telefax.	1	02.08.2006
2		Vom Gesetz abweichende Abtretungsmodalitäten der Stammanteile gemäss Statuten.	1	26.04.2007
			1	09.10.2007
			1	25.06.2008
			1	21.07.2008
			1	18.12.2008
			1	07.04.2009



# COMMERCIAL REGISTER OF CANTON ZURICH

CHE-104.809.432	ESBATech, a Novartis company GmbH	Schlieren	2
-----------------	-----------------------------------	-----------	---

All datas

In	Ca	Remarks	Ref	Date of the acts
			1	04.05.2009
			2	08.10.2009
			6	20.01.2012
			9	15.01.2013

In	Ca	Qualified facts	Ref	Official publication
1		Vermögensübertragung: Die ESBATech AG überträgt gemäss Vertrag vom 19.09.2006 Aktiven von CHF 231'259.-- und Passiven (Fremdkapital) von CHF 0.-- auf die Oncalis AG, in Schlieren (CH-020.3.030.003-2). Gegenleistung: CHF 231'259.--.	1	SHAB
2		Umwandlung: Die Gesellschaft wird gemäss Umwandlungsplan vom 06.10.2009 und Bilanz per 30.04.2009 mit Aktiven von CHF 27'874'606.00 und Passiven (Fremdkapital) von CHF 3'335'527.00 in eine Gesellschaft mit beschränkter Haftung umgewandelt. Die Alleinaktionärin erhält 1 Stammanteil zu CHF 13'964'424.00.		

In	Ca	Additional payments and statutory duty of accessory payments	In	Ca	Branch offices

Vis	Ref	No journal	Date	SOGC	Date SOGC	Page / Id	Vis	Ref	No journal	Date	SOGC	Date SOGC	Page / Id
ZH	1	37316	24.09.2009	189	30.09.2009	28 / 5270050	ZH	7	B 5754	13.02.2012	B 33	16.02.2012	6552850
ZH	2	39998	13.10.2009	202	19.10.2009	24 / 5298900	ZH	8	39904	21.11.2012	230	26.11.2012	6946438
ZH	3	45464	20.11.2009	230	26.11.2009	22 / 5361862	ZH	9	1990	21.01.2013	16	24.01.2013	7031432
ZH	4	7864	24.02.2011	42	01.03.2011	6056394	ZH	10	33097	17.10.2013	204	22.10.2013	1138539
ZH	5	22767	23.06.2011	123	28.06.2011	6225112	ZH	11	1752	15.01.2014	12	20.01.2014	1293821
ZH	6	3278	24.01.2012	19	27.01.2012	6522934							

In	Mo	Ca	Personal Data	Function	Signature
1		2m	Roper, Jeffrey L., amerikanischer Staatsangehöriger, in Kennedale (TX, US)	member of the board of directors	single signature
1		2m	Escher, Dominik, von Zürich, in Hausen am Albis	director	joint signature at two
1		2	Ernst & Young AG, in Aarau	auditor	
1		8	Schuh, Andreas, österreichischer Staatsangehöriger, in Genève		joint signature at two
2		4m	Escher, Dominik, von Zürich, in Zug	director	joint signature at two
2		9	Roper, Jeffrey L., amerikanischer Staatsangehöriger, in Kennedale (TX, US)	manager	single signature
2			Alcon Research Ltd., in Fort Worth (TX, US)	partner	
2		5	Ernst & Young AG (CH-270.3.012.140-6), in Basel	auditor	
3		9	Markabi, Dr. Sabri, französischer Staatsangehöriger, in Benbrook (TX, US)	president of the management	single signature
3		8	Beck, Jeanne, amerikanische Staatsangehörige, in Villars-sur-Glâne		single signature
4		9m	Escher, Dominik, von Zürich, in Hünenberg	director	joint signature at two
4			Schmidt, Annette, deutsche Staatsangehörige, in Zürich		joint signature at two
4			Steiner, Peter, von Schänis, in Wädenswil		joint signature at two
4			von Schulthess Rechberg, Konstantin, von Zürich, in Zollikon		joint signature at two
5			PricewaterhouseCoopers AG (CH-020.9.001.009-7), in Winterthur	auditor	
6		10	Gaudreault, Jacques, kanadischer Staatsangehöriger, in Basel		joint signature at two
6		7m	Weissgerber, Georges Charles, französischer Staatsangehöriger, in Zürich		joint signature at two
7			Weissgerber, Georges Charles, französischer Staatsangehöriger, in Marckolsheim (FR)		joint signature at two
8			Ryter Ciampi, Lea, von Kandergrund, in Olten		joint signature at two
8			Pfirter, Simone Doris, von Pratteln, in Pratteln		joint signature at two
9			Escher, Dominik, von Zürich, in Hünenberg	manager	joint signature at two
9			Klee, Christian, von Diepfingen und Rüeggisberg, in Winchester (MA/US)	president of the management	joint signature at two



# COMMERCIAL REGISTER OF CANTON ZURICH

CHE-104.809.432	ESBATech, a Novartis company GmbH	Schlieren	3
-----------------	-----------------------------------	-----------	---

All datas

In	Mo	Ca	Personal Data	Function	Signature
9			Brenneisen, Pascal Andreas, von Basel, in Riehen	manager	joint signature at two
9			Dryja, Thaddeus P., amerikanischer Staatsangehöriger, in Milton (MA/US)	manager	joint signature at two
9			Scheibler, Lukas, von Oftringen, in Fort Worth (TX/US)	manager	joint signature at two
10			Maurer, Patrik, deutscher Staatsangehöriger, in Winterthur		joint signature at two

Zürich, 20.02.2014 21:43

The information above is given with not commitment and is in no way legally binding. Only the company record (extract) issued and certified by the commercial Registry Office of Zurich and the text published in the Swiss Commercial Gazette are binding.

The information above is given with no commitment and is in no way legally binding.