

Clarke, Modet & C^o

COLOMBIA

P-3173

SUPERINTENDENCIA DE INDUSTRIA Y COMERCIO
DIVISION DE NUEVAS CREACIONES

E.

S.

D.

SUPERINTENDENCIA DE INDUSTRIA Y COMERCIO



No. 11-167166- -00002-0000

Fecha: 2012-02-14 15:47:02 Dep. 2020 DIR.NUEVASCR
Tra. 11 PATENTEIYII Eve: 378 FASENACIONALI
Act. 444 RESPUESTAREQUE Folios: 16

Ref.: Expediente No. 11.167.166
Solicitud de Patente a nombre de
NOVARTIS AG.

Yo, DILIA MARÍA RODRÍGUEZ D'ALEMAN, identificada como aparece al pie de mi firma, domiciliada en la Carrera 11 No. 86-53, piso 6, obrando como apoderada de la sociedad **NOVARTIS AG.**, solicitante de la patente de la referencia, en respuesta al oficio No. 08 notificado por fijación en lista el día 05 de Enero de 2011, atentamente me permito presentar:

1. Documentos donde consta la cesión del derecho a la patente otorgada por los inventores a favor de mi mandante.

Sobre los apartes en inglés, es importante resaltar que de conformidad con las normas legales vigentes, artículo 1 de la Resolución 210 de 2001, expedida por el Superintendente de Industria y Comercio y artículo 2 de la Convención de la Haya, el documento en inglés que se pretenda aportar como parte de los trámites de propiedad industrial ante la Superintendencia de Industria y Comercio no requieren traducción. Por otro lado, la legalización consular y/o diplomática de los documentos expedidos en el extranjero no es necesaria. Por lo tanto, los documentos anexos a este memorial son válidamente presentados en idioma inglés y con la correspondiente apostilla.

Espero con esto haber dado cabal cumplimiento a lo solicitado por ese despacho y de conformidad con lo indicado en los artículos 3º, inciso 3, 35 inciso 2 y 59 inciso 2 del CCA, al analizar este memorial, atentamente ruego se traten todas las cuestiones planteadas con motivo del mismo.

Señor Superintendente,

DILIA MARÍA RODRÍGUEZ D'ALEMAN
C.C. 41.654.882 de Bogotá.
T.P. 20824 CSJ

APOSTILLE*(Convention de La Haye du 5 octobre 1961)*

1. Country: *United States of America*

This public document

2. has been signed by P. Swain

3. acting in the capacity of Certifying Officer

4. bears the seal/stamp of U.S. Patent and Trademark Office

Certified

5. at Washington, D.C.

6. the seventeenth of January, 2012

7. by *Assistant Authentication Officer, United States Department of State*

8. No. 12013382-15

9. Seal/Stamp:

10. Signature:


Dennis Wollen

A 7330500

THE UNITED STATES OF AMERICA

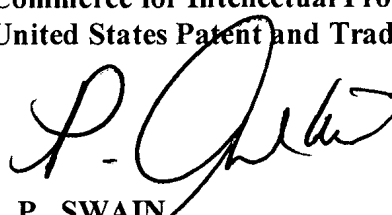
TO ALL TO WHOM THESE PRESENTS SHALL COME;

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office

December 15, 2011

THIS IS TO CERTIFY THAT ANNEXED IS A TRUE COPY FROM THE
RECORDS OF THIS OFFICE OF A DOCUMENT RECORDED ON
AUGUST 02, 2010.

By Authority of the
Under Secretary of Commerce for Intellectual Property
and Director of the United States Patent and Trademark Office


P. SWAIN
Certifying Officer



PATENT ASSIGNMENT

Electronic Version v1.1
Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT														
NATURE OF CONVEYANCE:	ASSIGNMENT														
CONVEYING PARTY DATA															
<table border="1"><thead><tr><th>Name</th><th>Execution Date</th></tr></thead><tbody><tr><td>VEGA MASIGNANI</td><td>07/14/2010</td></tr><tr><td>MICHELE ANNE BAROCCHI</td><td>07/14/2010</td></tr><tr><td>MONICA MOSCHIONI</td><td>07/16/2010</td></tr><tr><td>PAOLO RUGGIERO</td><td>07/15/2010</td></tr></tbody></table>		Name	Execution Date	VEGA MASIGNANI	07/14/2010	MICHELE ANNE BAROCCHI	07/14/2010	MONICA MOSCHIONI	07/16/2010	PAOLO RUGGIERO	07/15/2010				
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VEGA MASIGNANI	07/14/2010														
MICHELE ANNE BAROCCHI	07/14/2010														
MONICA MOSCHIONI	07/16/2010														
PAOLO RUGGIERO	07/15/2010														
RECEIVING PARTY DATA															
<table border="1"><tr><td>Name:</td><td>NOVARTIS VACCINES AND DIAGNOSTICS SRL</td></tr><tr><td>Street Address:</td><td>Via Fiorentina 1</td></tr><tr><td>City:</td><td>Siena</td></tr><tr><td>State/Country:</td><td>ITALY</td></tr><tr><td>Postal Code:</td><td>I-53100</td></tr></table>		Name:	NOVARTIS VACCINES AND DIAGNOSTICS SRL	Street Address:	Via Fiorentina 1	City:	Siena	State/Country:	ITALY	Postal Code:	I-53100				
Name:	NOVARTIS VACCINES AND DIAGNOSTICS SRL														
Street Address:	Via Fiorentina 1														
City:	Siena														
State/Country:	ITALY														
Postal Code:	I-53100														
PROPERTY NUMBERS Total: 6															
<table border="1"><thead><tr><th>Property Type</th><th>Number</th></tr></thead><tbody><tr><td>Application Number:</td><td>61217629</td></tr><tr><td>Application Number:</td><td>61254426</td></tr><tr><td>Application Number:</td><td>61314203</td></tr><tr><td>Application Number:</td><td>61318926</td></tr><tr><td>PCT Number:</td><td>IB1052445</td></tr><tr><td>Application Number:</td><td>12791186</td></tr></tbody></table>		Property Type	Number	Application Number:	61217629	Application Number:	61254426	Application Number:	61314203	Application Number:	61318926	PCT Number:	IB1052445	Application Number:	12791186
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Application Number:	61314203														
Application Number:	61318926														
PCT Number:	IB1052445														
Application Number:	12791186														
CORRESPONDENCE DATA															
Fax Number: (510)655-3542 <i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>															
Phone: (510)923-2192															
Email: kara.shure@novartis.com															
Correspondent Name: Helen Lee															
Address Line 1: 4560 Horton Street															

501249896

PATENT
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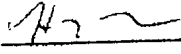
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4

Address Line 2: Intellectual Property M/S X-100B	
Address Line 4: Emeryville, CALIFORNIA 94662-8097	
ATTORNEY DOCKET NUMBER:	PAT053447-US-NP
NAME OF SUBMITTER:	Kara Shure
Total Attachments: 4 source=ASSG Cover Sheet - inventors to NVD SRL#page1.tif source=Assignment inventors to NVD SRL#page1.tif source=Assignment inventors to NVD SRL#page2.tif source=Assignment inventors to NVD SRL#page3.tif	

PATENT
REEL: 024773 FRAME: 0205

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Form PTO-1595 (Rev. 07/05) OMB No. 0651-0027 (exp. 6/30/2008) RECORDATION FORM COVER SHEET PATENTS ONLY U.S. DEPARTMENT OF COMMERCE U.S. Patent and Trademark Office Atty Docket No.: PAT053447-US-NP	
To the Director of Patents and Trademarks: Please record the attached original documents or copy thereof.	
1. Name of conveying party(ies): VEGA MASIGNANI MICHELE ANNE BAROCCHI MONICA MOSCHIONI PAOLO RUGGIERO Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No 3. Nature of conveyance: ☒ Assignment ☐ Security Agreement ☐ Joint Research Agreement ☐ Government Interest Assignment ☐ Executive Order 9424, Confirmatory License ☐ Merger ☐ Change of Name ☐ Other _____ Execution Date(s): 07/14/2010; 07/14/2010; 07/16/2010; 07/15/2010	2. Name and address of receiving party(ies) Name: NOVARTIS VACCINES AND DIAGNOSTICS S.R.L. Via Fiorentina, 1 I-53100 Siena Italy ☐ Other Additional name(s) & address(es) attached? ☐ Yes ☒ No
4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: _____ A. Patent Application No.(s) US 61/217,629 US 61/254,426 US 61/314,203 US 61/318,926 PCT/IB2010/052445 US 12/791,186 B. Patent No.(s) Additional number(s) attached ☐ Yes ☒ No	
5. Name and address of party to whom correspondence concerning document should be mailed: NOVARTIS VACCINES AND DIAGNOSTICS, INC. Corporate Intellectual Property – X 100B P.O. Box 8097 Emeryville, CA 94662-8097	6. Total number of applications and patents involved ☒ 6 7. Total fee (37 CFR 3.41)..... \$240.00 ☐ Enclosed ☒ Authorized to be charged to deposit account, 8. Deposit account number: 03-1664 (Attach duplicate copy of this page if paying by deposit account)
DO NOT USE THIS SPACE	
9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i> <u>Helen Lee, Reg. No. 39,270</u> Name of Person Signing  Signature  Date Total number of pages including cover sheet, attachments, and document: ☒ 4	

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, VA 22313-1450

PATENT
REEL: 024773 FRAME: 0206

(joint)

Patent Case 53447

ASSIGNMENT

For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, we

(1) Vega Masignani, (2) Michele Anne Barocchi, (3) Monica Moschioni and (4) Paolo Ruggiero

do hereby sell, assign and transfer to **Novartis Vaccines and Diagnostics S.R.L.**, with a place of business at Via Fiorentina 1, I-53100, Siena, Italy, (hereinafter referred to as the "**ASSIGNEE**") and its successors, assigns and legal representatives, all of my right, title and interest for all countries of the world in and to (1) all of our inventions and discoveries described in the patent application(s) titled

COMBINATIONS OF PNEUMOCOCCAL RrgB CLADES

and filed in the United States Patent and Trademark Office on June 1, 2010 and accorded Application Number 12/791,186* and/or filed in the RO/IB on June 1, 2010 and accorded International Patent Application Number PCT/IB2010/052445*, (2) the patent application(s) identified in (1), (3) all national stages of any international patent application identified in (1), (4) all other patent applications in all countries and regions claiming the priority of the provisional patent application filed in the United States Patent and Trademark Office on March 30, 2010 and accorded Application Number 61,318,926; and provisional patent application filed in the United States Patent and Trademark Office on March 16, 2010 and accorded Application Number 61/314,203; and provisional patent application filed in the United States Patent and Trademark Office on October 23, 2009 and accorded Application Number 61/254,426; and provisional patent application filed in the United States Patent and Trademark Office on June 1, 2009 and accorded Application Number 61/217,629; (5) for all patent applications, all rights of priority based upon the United States patent application identified in (4) in all countries and regions under the Paris Convention for the Protection of Industrial Property, the Inter-American Convention relating to Inventions, Patents, Designs, and Industrial Models and all other international agreements to which the United States now is or hereafter becomes a signatory and, if the United States patent application identified in (4) is a provisional patent application, under 35 USC 119(e) (including the right to file patent applications on said inventions and discoveries in the names of **ASSIGNEE** or their designees or in our names, at their election and in accordance with applicable law in all countries and regions), (6) all continuations and divisions of any United States patent application or international patent application designating the United States identified in (1), any national stages of any international application identified in (1) and any patent applications within the scope of (4) (including further continuations and divisions such as, but not limited to, continuations of continuations and continuations of divisions), ((2)-(4) and (6) hereinafter referred to collectively as "patent applications"), (7) all patents that are granted on any of said patent applications, (8) all registrations and confirmations of, and importation certificates based upon, one or more of said patents and applications for said patents, registrations, confirmations and importation certificates, reexamination certificates issued for said patents and supplementary protection certificates based upon said patents and applications for such reissues, renewals, extensions, reexamination certificates and supplementary protection certificates, the same to be held and enjoyed by said **ASSIGNEE** and their successors, assigns and legal representatives to the full ends of the terms for which said patents, registrations, confirmations, importation certificates, reexamination certificates, supplementary protection certificates, reissues, renewals and extensions may be granted, as fully and entirely as the same would have been held and enjoyed by us if this sale, assignment and transfer had not been made.

*We hereby authorize **ASSIGNEE** and their representatives to insert in this Assignment the filing date(s) and Application Number(s) of said patent application(s) when notified thereof.

And we hereby covenant and agree that we will, at any time, (i) upon the request, but at the expense, of **ASSIGNEE** or their successors, assigns or legal representatives execute and deliver all documents that may be necessary or desirable to perfect the title to the foregoing inventions and discoveries, patent applications, patents, registrations, confirmations, importation certificates, reissues, renewals, extensions, reexamination certificates, supplementary protection certificates and applications within the scope of (8) and (9) in **ASSIGNEE** or their successors, assigns or legal representatives, including the execution and procurement of all further documents evidencing this sale, assignment and transfer as may be necessary or desirable for

JOINT US PRIORITY ASSIGNMENT

PATENT
REEL: 024773 FRAME: 0207

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recording the same in the patent office or other intellectual property office, agency or the like of any country or region, (ii) upon the request, but at the expense, of **ASSIGNEE** or their successors, assigns or legal representatives execute all additional patent applications within the scope of (3), (4) and (6) and all applications within the scope of (8) or (9) and (iii) make all rightful oaths and declarations and do all lawful acts requisite for procuring the same or for aiding therein, without further compensation, but at the expense of **ASSIGNEE** or their successors, assigns or legal representatives.

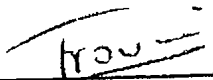
This Assignment is effective as from the earliest priority date as stated above.

Executed this 14th day of July, 2010.

 L.S.
Vega Masignani

ACKNOWLEDGEMENT


WITNESS


WITNESS

Executed this 14th day of July, 2010.

 L.S.
Michele Anne Barocchi

ACKNOWLEDGEMENT


WITNESS


WITNESS

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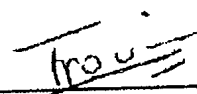
8

Executed this 14th day of July, 2010.

 L.S.
Monica Moschioni

ACKNOWLEDGEMENT


WITNESS


WITNESS

Executed this 15th day of July, 2010.

 L.S.
Paolo Ruggiero

ACKNOWLEDGEMENT


WITNESS


WITNESS

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RECORDED: 08/02/2010

PATENT
REEL: 024773 FRAME: 0209

9

APOSTILLE*(Convention de La Haye du 5 octobre 1961)*

1. Country: United States of America

This public document

2. has been signed by P. Swain

3. acting in the capacity of Certifying Officer

4. bears the seal/stamp of U.S. Patent and Trademark Office

Certified

5. at Washington, D.C.

6. the seventeenth of January, 2012

7. by Assistant Authentication Officer, United States Department of State

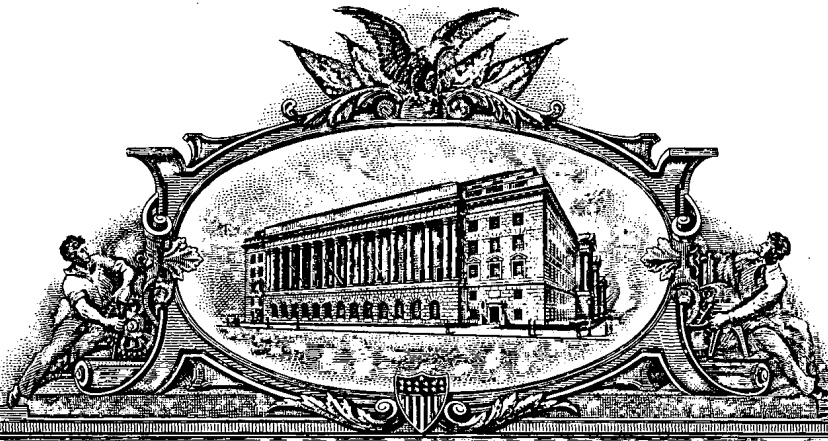
8. No. 12013382-14

9. Seal/Stamp:

10. Signature:


Dennis Wollen

A 7330500



THE UNITED STATES OF AMERICA

TO ALL TO WHOM THESE PRESENTS SHALL COME:

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office

December 15, 2011

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AUGUST 02, 2010.

By Authority of the
Under Secretary of Commerce for Intellectual Property
and Director of the United States Patent and Trademark Office

P. SWAIN
Certifying Officer



PATENT ASSIGNMENT

Electronic Version v1.1
Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
NOVARTIS VACCINES AND DIAGNOSTICS SRL	07/23/2010
RECEIVING PARTY DATA	
Name:	NOVARTIS AG
Street Address:	Lichtstrasse 35
City:	Basel
State/Country:	SWITZERLAND
Postal Code:	4056
PROPERTY NUMBERS Total: 6	
Property Type	Number
Application Number:	61217629
Application Number:	61254426
Application Number:	61314203
Application Number:	61318926
PCT Number:	IB1052445
Application Number:	12791186
CORRESPONDENCE DATA	
Fax Number:	(510)655-3542
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>	
Phone:	(510)923-2192
Email:	kara.shure@novartis.com
Correspondent Name:	Helen Lee
Address Line 1:	4560 Horton Street
Address Line 2:	Intellectual Property M/S X-100B
Address Line 4:	Emeryville, CALIFORNIA 94662-8097
ATTORNEY DOCKET NUMBER:	PAT053447-US-NP

CH \$240.00 61217629

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PATENT
REEL: 024773 FRAME: 0254

12

NAME OF SUBMITTER:

Kara Shure

Total Attachments: 3

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PATENT
REEL: 024773 FRAME: 0255

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RECORDATION FORM COVER SHEET
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

Atty Docket No.: PAT053447-US-NP

To the Director of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

NOVARTIS VACCINES AND DIAGNOSTICS S.R.L.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name:

NOVARTIS AG
Lichtstrasse 35
4056 Basel
Switzerland

☐ Other

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Joint Research Agreement ☐ Other _____
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License

Execution Date(s): 07/23/2010

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____.

A. Patent Application No.(s)

US 61/217,629
US 61/254,426
US 61/314,203
US 61/318,926
PCT/IB2010/052445
US 12/791,186

B. Patent No.(s)

Additional number(s) attached ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

NOVARTIS VACCINES AND DIAGNOSTICS, INC.
Corporate Intellectual Property – X 100B
P.O. Box 8097
Emeryville, CA 94662-8097

6. Total number of applications and patents involved ☒ 6

7. Total fee (37 CFR 3.41)..... \$240.00

☐ Enclosed

☒ Authorized to be charged to deposit account.

8. Deposit account number: 03-1664

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Helen Lee, Reg. No. 39,270

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document ☒ 3

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, VA 22313-1450

PATENT
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14

ASSIGNMENT OF PATENT APPLICATION

Whereas NOVARTIS VACCINES AND DIAGNOSTICS SRL, with a place of business at Via Fiorentina 1, I-53100, Siena, Italy, ("ASSIGNOR") and Novartis AG, a corporation of Switzerland having a place of business at Lichtstrasse 35, 4056 Basel, Switzerland, ("ASSIGNEE") have agreed that ASSIGNEE shall acquire from ASSIGNOR the following patents and/or patent applications ("PATENT PROPERTIES"):

<u>Patent No.</u>	<u>Application No.</u>	<u>Filing Date</u>	<u>Issue Date</u>
	61/217,629	June 1, 2009	
	61/254,426	October 23, 2009	
	61/314,203	March 16, 2010	
	61/318,926	March 30, 2010	
	PCT/IB2010/052445	June 1, 2010	
	12/791,186	June 1, 2010	

Therefore, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, ASSIGNOR, the owner of the entire right, title, and interest in the PATENT PROPERTIES, hereby sells, assigns, transfers and conveys to ASSIGNEE, its designees, successors, assigns and legal representatives, the entire right, title and interest in the PATENT PROPERTIES and all divisions, continuations, reissues and reexaminations thereof, the inventions therein, and all rights to claim priority from the PATENT PROPERTIES and all applications for patent that may be filed for the inventions in any foreign country and all patents that may be granted on the inventions in any foreign country, and all extensions, renewals, and reissues thereof; each and every of the foregoing rights, titles and interests herein assigned shall be held and enjoyed by ASSIGNEE, its successors, assigns and legal representatives, as fully and entirely as the same would have been held and enjoyed by ASSIGNOR had this Assignment not been made.

PATENT
REEL: 024773 FRAME: 0257

15

IN TESTIMONY WHEREOF, Assignor has caused this Assignment to be duly executed in its name and behalf by affixing its hand and seal thereto by its designated officer, director, or agent, whose name and title appear below.

Executed at Siena, Italy this 23 day of July, 2010.

Novartis Vaccines & Diagnostics SRL



Signature

Name: LEONARDO RASILE

Title: AUTHORIZED SIGNATORY

RECORDED: 08/02/2010

PATENT
REEL: 024773 FRAME: 0258

16