

AS: 103.274

SUPERINTENDENCIA DE INDUSTRIA Y COMERCIO



No. 07-022892- -00002-0000

Fecha: 2007-07-12 16:46:25 Dep. 2020 NUECREACION  
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Act. 444 RESPUESTAREQUE Folios: 31

Señores

**SUPERINTENDENCIA DE INDUSTRIA Y COMERCIO**

**DIVISION DE NUEVAS CREACIONES**

E. S. D.

**RESPUESTA A OFICIO 6555 DE 01 JUNIO 2007**

REF: Expediente No. 07 022892 - Solicitud de Patente FASE NACIONAL Corresp. a la Solicitud Internacional PCT/US2005/031907 a favor de **GENENTECH, INC.**

Titulada: **MÉTODOS PARA UTILIZAR LIGANDOS DE RECEPTOR MUERTO Y ANTICUERPOS CD20**

**JUAN PABLO CADENA SARMIENTO**, vecino de Bogotá, portador de la tarjeta profesional No. 57492, obrando como apoderado de la Sociedad **GENENTECH, INC.**, según lo acredita el documento de Poder presentado en esa División, para dar cumplimiento al requerimiento notificado por fijación en lista el 01 de junio de 2007 y de acuerdo con los Artículos 38 y 39 de la Decisión 486 de la Comisión de la Comunidad Andina, Artículo 27 del Tratado de Cooperación en Materia de Patentes (PCT), regla 51 bis del Reglamento y Circular Única de la SIC, me permito anexar al presente escrito los siguientes documentos:

1. Documentos (2) donde consta la cesión del derecho a la Patente otorgado por el inventor al solicitante, debidamente apostillados, junto con sus correspondientes traducciones al castellano.
2. Reporte Preliminar Internacional sobre la Patentabilidad (Formas PCT/IB/373 y PCT/ISA/237).
3. Extracto para publicación y Tarjeta de Archivo Temático.

De la señora jefe atentamente,

**JUAN PABLO CADENA SARMIENTO**  
C.C. No. 80.410.337 de Usaquén  
Cra. 7 No. 71-21, Torre B, Piso 4

Bogotá, 11 de julio de 2007  
MEV/JCN/aec

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|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                    |                                                                                                                            |           |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|----------------------------------------------------------------------------------------------------------------------------|-----------|
|  <b>Industria y Comercio</b><br><b>SUPERINTENDENCIA</b>                                                                                                                                                                                                                                                                                                                                                        |                    | <b>SUPERINTENDENCIA DE INDUSTRIA Y COMERCIO</b><br><b>DIVISION DE NUEVAS CREACIONES</b><br><b>TARJETA ARCHIVO TEMÁTICO</b> |           |
| <b>PATENTE DE INVENCION</b> <u>X</u> <b>PCT</b> <u>X</u> <b>MODELO DE UTILIDAD</b> <u>    </u> <b>DISEÑO INDUSTRIAL</b> <u>    </u>                                                                                                                                                                                                                                                                                                                                                             |                    |                                                                                                                            |           |
| (21) N° de solicitud: 07 022892                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                    | (22) Fecha de solicitud: 07-03-2007                                                                                        |           |
| (51) Clasificación Internacional :                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                    |                                                                                                                            |           |
| (71) Solicitante(s) GENENTECH, INC.                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                    |                                                                                                                            |           |
| (72) Inventor(es) Avi J. ASHKENAZI                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                    |                                                                                                                            |           |
| (74) Agente: JUAN PABLO CADENA SARMIENTO                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                    |                                                                                                                            |           |
| (30) Prioridad                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | (31) No. Prioridad | (32) Fecha                                                                                                                 | (33) País |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 80/607,809         | 08-09-2004                                                                                                                 | US        |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 80/668,553         | 30-03-2005                                                                                                                 | US        |
| (85) Fecha inicio fase nacional: 08-04-2007                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                    | (87) Publicación Internacional:                                                                                            |           |
| (86) Datos relativos a la presentación de la solíc. PCT                                                                                                                                                                                                                                                                                                                                                                                                                                         |                    | Fecha: 16-03-2006                                                                                                          |           |
| Fecha de presentación de la solicitud: 07-09-2005                                                                                                                                                                                                                                                                                                                                                                                                                                               |                    | No. Publicación: WO 2006/029224 A3                                                                                         |           |
| No. de solicitud: PCT/US2005/031907                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                    |                                                                                                                            |           |
| (54) Título: MÉTODOS PARA UTILIZAR LIGANDOS DE RECEPTOR MUERTO Y ANTICUERPOS CD20                                                                                                                                                                                                                                                                                                                                                                                                               |                    |                                                                                                                            |           |
| (57) Resumen:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                    |                                                                                                                            |           |
| Se suministran métodos para utilizar ligandos de receptor muerto, tales como los polipéptidos de ligando/trail Apo-2 o los anticuerpos receptores muertos, y los anticuerpos CD20 para tratar condiciones tales como cáncer y enfermedades relacionadas con el sistema inmune. Las modalidades de la invención incluyen métodos para utilizar el Apo2L/trail o los anticuerpos de receptor muerto tales como los anticuerpos DR5 y los anticuerpos DR4 en combinación con los anticuerpos CD20. |                    |                                                                                                                            |           |
| CONTINUA AL RESPALDO ...                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                    |                                                                                                                            |           |

|                                                                                                                                      |                    |                                                                                                                                                                             |           |
|--------------------------------------------------------------------------------------------------------------------------------------|--------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| <br><b>Industria y Comercio</b><br>SUPERINTENDENCIA |                    | <b>SUPERINTENDENCIA DE INDUSTRIA Y COMERCIO</b><br><b>DIVISION DE NUEVAS CREACIONES</b><br><b>EXTRACTO PARA PUBLICACIÓN</b><br><b>SOLICITUD DE PATENTE DE INVENCION PCT</b> |           |
| (21) N° de solicitud: 07 022882                                                                                                      |                    | (51) Int Cl:                                                                                                                                                                |           |
| 22) Fecha de solicitud: 07-03-2007                                                                                                   |                    | (71) Solicitante(s) GENENTECH, INC.                                                                                                                                         |           |
| (30) Prioridad                                                                                                                       | (31) No. Prioridad | (32) Fecha                                                                                                                                                                  | (33) País |
|                                                                                                                                      | 80/807,909         | 08-09-2004                                                                                                                                                                  | US        |
|                                                                                                                                      | 80/888,553         | 30-03-2005                                                                                                                                                                  | US        |
|                                                                                                                                      |                    | (72) Inventor(es) Avi J. ASHKENAZI                                                                                                                                          |           |
|                                                                                                                                      |                    | (74) Agente: JUAN PABLO CADENA SARMIENTO                                                                                                                                    |           |
| (85) Fecha inicio fase nacional: 08-04-2007                                                                                          |                    | (87) Publicación internacional                                                                                                                                              |           |
| (86) Datos relativos a la presentación de la solicitud PCT                                                                           |                    | Fecha: 16-03-2008                                                                                                                                                           |           |
| Fecha de presentación de la solicitud: 07-09-2005                                                                                    |                    | N° publicación: WO 2008/029224 A3                                                                                                                                           |           |
| No. de solicitud: PCT/US2005/031907                                                                                                  |                    |                                                                                                                                                                             |           |
| (54) Título: MÉTODOS PARA UTILIZAR LIGANDOS DE RECEPTOR MUERTO Y ANTICUERPOS CD20                                                    |                    |                                                                                                                                                                             |           |

**Resumen**

Se suministran métodos para utilizar ligandos de receptor muerto, tales como los polipéptidos de ligando/trail Apo-2 o los anticuerpos receptores muertos, y los anticuerpos CD20 para tratar condiciones tales como cáncer y enfermedades relacionadas con el sistema inmune. Las modalidades de la invención incluyen métodos para utilizar el Apo2L/trail o los anticuerpos de receptor muerto tales como los anticuerpos DR5 y los anticuerpos DR4 en combinación con los anticuerpos CD20.

AS:103274

JN/LG

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From the INTERNATIONAL BUREAU

# PCT

NOTIFICATION CONCERNING  
TRANSMITTAL OF COPY OF INTERNATIONAL  
PRELIMINARY REPORT ON PATENTABILITY  
(CHAPTER I OF THE PATENT COOPERATION  
TREATY)  
(PCT Rule 44bis.1(c))

|                                                                                                                             |                                |
|-----------------------------------------------------------------------------------------------------------------------------|--------------------------------|
| To:                                                                                                                         | <b>RECEIVED</b>                |
|                                                                                                                             | MAR 30 2007                    |
| MARSCHANG, Diane, L.<br>Genentech, Inc.<br>1 DNA Way<br>South San Francisco, California 94080-4980<br>ETATS-UNIS D'AMERIQUE | GENENTECH, INC.<br>LEGAL DEPT. |

|                                                                |                                                                              |                                                                  |  |
|----------------------------------------------------------------|------------------------------------------------------------------------------|------------------------------------------------------------------|--|
| Date of mailing (day/month/year)<br>22 March 2007 (22.03.2007) |                                                                              | IMPORTANT NOTICE                                                 |  |
| Applicant's or agent's file reference<br>P2031R1A              |                                                                              |                                                                  |  |
| International application No.<br>PCT/US2005/031907             | International filing date (day/month/year)<br>07 September 2005 (07.09.2005) | Priority date (day/month/year)<br>08 September 2004 (08.09.2004) |  |
| Applicant<br>GENENTECH, INC. et al                             |                                                                              |                                                                  |  |

The International Bureau transmits herewith a copy of the international preliminary report on patentability (Chapter I of the Patent Cooperation Treaty)

Calendared/LRS  
IPRP  
2 MAY 07  
Due Date

|                                                                                               |                                           |
|-----------------------------------------------------------------------------------------------|-------------------------------------------|
| The International Bureau of WIPO<br>34, chemin des Colombettes<br>1211 Geneva 20, Switzerland | Authorized officer<br>Beate Giffö-Schmitt |
| Facsimile No. +41 22 338 82 70                                                                | e-mail: pct@wipo.int                      |

INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY  
(Chapter I of the Patent Cooperation Treaty)

(PCT Rule 44bis)

X 428

|                                                                                                                                  |                                                                              |                                                                  |
|----------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------|------------------------------------------------------------------|
| Applicant's or agent's file reference<br>P2031R1A                                                                                | FOR FURTHER ACTION                                                           | See item 4 below                                                 |
| International application No.<br>PCT/US2005/031907                                                                               | International filing date (day/month/year)<br>07 September 2005 (07.09.2005) | Priority date (day/month/year)<br>08 September 2004 (08.09.2004) |
| International Patent Classification (8th edition unless older edition indicated)<br>See relevant information in Form PCT/ISA/237 |                                                                              |                                                                  |
| Applicant<br>GENENTECH, INC.                                                                                                     |                                                                              |                                                                  |

1. This international preliminary report on patentability (Chapter I) is issued by the International Bureau on behalf of the International Searching Authority under Rule 44 bis I (a).

2. This REPORT consists of a total of 7 sheets, including this cover sheet.

In the attached sheets, any reference to the written opinion of the International Searching Authority should be read as a reference to the international preliminary report on patentability (Chapter I) instead.

3. This report contains indications relating to the following items:

- |                                                 |                                                                                                                                                                 |
|-------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Box No. I   | Basis of the report                                                                                                                                             |
| <input type="checkbox"/> Box No. II             | Priority                                                                                                                                                        |
| <input checked="" type="checkbox"/> Box No. III | Non-establishment of opinion with regard to novelty, inventive step and industrial applicability                                                                |
| <input type="checkbox"/> Box No. IV             | Lack of unity of invention                                                                                                                                      |
| <input checked="" type="checkbox"/> Box No. V   | Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement |
| <input type="checkbox"/> Box No. VI             | Certain documents cited                                                                                                                                         |
| <input type="checkbox"/> Box No. VII            | Certain defects in the international application                                                                                                                |
| <input type="checkbox"/> Box No. VIII           | Certain observations on the international application                                                                                                           |

4. The International Bureau will communicate this report to designated Offices in accordance with Rules 44bis.3(c) and 93bis.1 but not, except where the applicant makes an express request under Article 23(2), before the expiration of 30 months from the priority date (Rule 44bis.2).

|                                                                                               |                                                                  |
|-----------------------------------------------------------------------------------------------|------------------------------------------------------------------|
|                                                                                               | Date of issuance of this report<br>13 March 2007 (13.03.2007)    |
| The International Bureau of WIPO<br>34, chemin des Colombettes<br>1211 Geneva 20, Switzerland | Authorized officer<br><br>Beate Giffo-Schmitt                    |
| Facsimile No. +41 22 338 82 70                                                                | e-mail: <a href="mailto:pt03.pct@wipo.int">pt03.pct@wipo.int</a> |

# PATENT COOPERATION TREATY

From the  
INTERNATIONAL SEARCHING AUTHORITY

REC'D 20 MAY 2006

WIPO

PCT

PCT

429

To:

see form PCT/ISA/220

## WRITTEN OPINION OF THE INTERNATIONAL SEARCHING AUTHORITY (PCT Rule 43bis.1)

Date of mailing  
(day/month/year) see form PCT/ISA/210 (second sheet)

Applicant's or agent's file reference  
see form PCT/ISA/220

FOR FURTHER ACTION  
See paragraph 2 below

International application No.  
PCT/US2005/031907

International filing date (day/month/year)  
07.09.2005

Priority date (day/month/year)  
08.09.2004

International Patent Classification (IPC) or both national classification and IPC  
INV. C07K14/705 C07K18/28 A61P35/02 A61K39/395

Applicant  
GENENTECH, INC.

### 1. This opinion contains indications relating to the following items:

- ☒ Box No. I Basis of the opinion
- ☐ Box No. II Priority
- ☒ Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
- ☐ Box No. IV Lack of unity of invention
- ☒ Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
- ☐ Box No. VI Certain documents cited
- ☐ Box No. VII Certain defects in the international application
- ☐ Box No. VIII Certain observations on the international application

### 2. FURTHER ACTION

If a demand for international preliminary examination is made, this opinion will usually be considered to be a written opinion of the International Preliminary Examining Authority ("IPEA") except that this does not apply where the applicant chooses an Authority other than this one to be the IPEA and the chosen IPEA has notified the International Bureau under Rule 66.1bis(b) that written opinions of this International Searching Authority will not be so considered.

If this opinion is, as provided above, considered to be a written opinion of the IPEA, the applicant is invited to submit to the IPEA a written reply together, where appropriate, with amendments, before the expiration of 3 months from the date of mailing of Form PCT/ISA/220 or before the expiration of 22 months from the priority date, whichever expires later.

For further options, see Form PCT/ISA/220.

### 3. For further details, see notes to Form PCT/ISA/220.

Name and mailing address of the ISA:



European Patent Office  
D-60598 Munich  
Tel. +49 89 2369 - 0 Tx: 523636 epara d  
Fax: +49 89 2369 - 4465

Date of completion of  
this opinion

see form  
PCT/ISA/210

Authorized Officer

Rankin, R

Telephone No. +49 89 2369-2558



**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY**

International application No.  
PCT/US2005/031907

2

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**Box No. 1 Basis of the opinion**

1. With regard to the language, this opinion has been established on the basis of:

- ☒ the international application in the language in which it was filed
- ☐ a translation of the international application into , which is the language of a translation furnished for the purposes of international search (Rules 12.3(a) and 23.1 (b)).

2. With regard to any nucleotide and/or amino acid sequence disclosed in the international application and necessary to the claimed invention, this opinion has been established on the basis of:

a. type of material:

- ☒ a sequence listing
- ☐ table(s) related to the sequence listing

b. format of material:

- ☒ on paper
- ☒ in electronic form

c. time of filing/furnishing:

- ☐ contained in the international application as filed.
- ☐ filed together with the international application in electronic form.
- ☒ furnished subsequently to this Authority for the purposes of search.

3. ☒ In addition, in the case that more than one version or copy of a sequence listing and/or table relating thereto has been filed or furnished, the required statements that the information in the subsequent or additional copies is identical to that in the application as filed or does not go beyond the application as filed, as appropriate, were furnished.

4. Additional comments:

**Box No. III Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

The questions whether the claimed invention appears to be novel, to involve an inventive step (to be non obvious), or to be industrially applicable have not been examined in respect of

☐ the entire international application

☒ claims Nos. 1-21 (for reasons of industrial applicability)

because:

☒ the said international application, or the said claims Nos. 1-21 (for reasons of industrial applicability) relate to the following subject matter which does not require an international search (specify):

see separate sheet

☐ the description, claims or drawings (indicate particular elements below) or said claims Nos. are so unclear that no meaningful opinion could be formed (specify):

☐ the claims, or said claims Nos. are so inadequately supported by the description that no meaningful opinion could be formed (specify):

☐ no international search report has been established for the whole application or for said claims Nos.

☐ a meaningful opinion could not be formed without the sequence listing; the applicant did not, within the prescribed time limit:

☐ furnish a sequence listing on paper complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.

☐ furnish a sequence listing in electronic form complying with the standard provided for in Annex C of the Administrative Instructions, and such listing was not available to the International Searching Authority in a form and manner acceptable to it.

☐ pay the required late furnishing fee for the furnishing of a sequence listing in response to an invitation under Rules 13ter.1(a) or (b).

☐ a meaningful opinion could not be formed without the tables related to the sequence listings; the applicant did not, within the prescribed time limit, furnish such tables in electronic form complying with the technical requirements provided for in Annex C-bis of the Administrative Instructions, and such tables were not available to the International Searching Authority in a form and manner acceptable to it.

☐ the tables related to the nucleotide and/or amino acid sequence listing, if in electronic form only, do not comply with the technical requirements provided for in Annex C-bis of the Administrative Instructions.

☐ See Supplemental Box for further details

**WRITTEN OPINION OF THE  
INTERNATIONAL SEARCHING AUTHORITY**

International application No.  
PCT/US2005/031907

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**Box No. V Reasoned statement under Rule 43bis.1(a)(i) with regard to novelty, inventive step or  
Industrial applicability; citations and explanations supporting such statement**

**1. Statement**

|                               |             |      |
|-------------------------------|-------------|------|
| Novelty (N)                   | Yes: Claims | 1-21 |
|                               | No: Claims  |      |
| Inventive step (IS)           | Yes: Claims | 1-21 |
|                               | No: Claims  |      |
| Industrial applicability (IA) | Yes: Claims |      |
|                               | No: Claims  |      |

**2. Citations and explanations**

see separate sheet

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**Re Item III**

**Non-establishment of opinion with regard to novelty, inventive step and industrial applicability**

Claims 1-21 relate to subject matter considered by this Authority to be covered by the provisions of Rule 67.1(iv) PCT. Consequently, no opinion will be formulated with respect to the industrial applicability of the subject matter of these claims (Article 34(4)(a)(i) PCT)

**Re Item V**

**Reasoned statement with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

For the assessment of the present claims 1-21 on the question whether they are industrially applicable, no unified criteria exist within the PCT Contracting States. The patentability can also be dependent upon the formulation of the claims. The EPO, for example, does not recognise as industrially applicable the subject matter of claims to the use of a compound in medical treatment, but may allow, however, the use of such a compound for the manufacture of a medicament for a new medical treatment.

**Cited Documents**

Reference is made to the following document:

D1: WO 03/038043 A (UAB RESEARCH FOUNDATION; ZHOU, TONG; ICHIKAWA, KIMIHIISA; KIMBERLY, ROB) 8 May 2003 (2003-05-08)

**Article 33(2) PCT**

The subject matter or claims 1-21 is novel. No prior art document discloses a combination therapy consisting of administering APO2L/TRAIL and a CD20 antibody to a patient.

**Article 33(3) PCT**

The closest prior art is D1 which discloses a therapeutic method of treating cancers and other ailments by a combination of antibody against CD20 and antibody against DR4 or DR5 (page 6, line 1 to page 8, line 6; page 54, lines 8-14; claims) .

The difference between the subject matter of claim 1 and D1 is that in claim 1 the combination is that of CD20 antibody and the APO2L/TRAIL protein.

AS:100274

(2)

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**APOSTILLE**

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

1. Country: United States of America

This public document

2. has been signed by T. Lawrence

3. acting in the capacity of Certifying Officer

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

**Certified**

5. at Washington, D.C.

6. the twenty-ninth of March, 2007

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

8. No. 07017970-2

9. Seal/Stamp:

10. Signature:

Sonya N. Johnson

The problem to be solved may therefore be considered as being to provide a therapy against cancer which may lead to tumour ablation.

The subject matter of claim 1 solves this problem and is considered inventive since the skilled person would not have been prompted by the prior art to arrive at the combination of claim 1. Nor would the skilled person have been prompted to attempt the solution of claim 1 as there would have been no indication that success was likely.

Though it is known that Apo2/TRAIL is the antigen corresponding in activity to the anti-DR5 antibodies of the prior art and that this isolated antigen may have the same effect as the antibody of D1, the skilled person would not have expected that the anti-tumour effect would be as prominent as shown in the examples and that the said technical problem could be solved by the claimed combination. The subject matter of claim 1 is therefore inventive as is that of independent claim 12, for the same reasoning (Article 33(3) PCT).

*Colombia*  
436

A 7055884

# THE UNITED STATES OF AMERICA

**TO ALL TO WHOM THESE PRESENTS SHALL COME:**

**UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office**

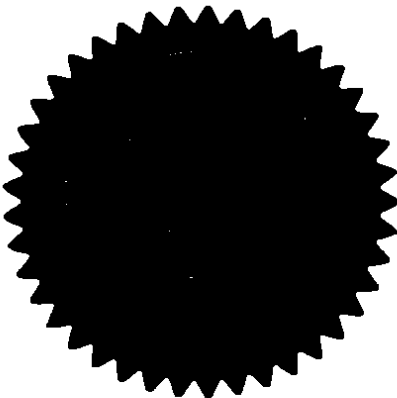
**March 05, 2007**

**THIS IS TO CERTIFY THAT ANNEXED IS A TRUE COPY FROM THE  
RECORDS OF THIS OFFICE OF A DOCUMENT RECORDED ON  
FEBRUARY 28, 2005.**

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

*T. Lawrence*

**T. LAWRENCE  
Certifying Officer**



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| <b>RECORDATION FORM COVER SHEET<br/>PATENTS ONLY</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                           | U.S. DEPARTMENT OF COMMERCE<br>Patent and Trademark Office<br>Atty Dis No: PM2001-1 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
| Assistant Commissioner of Patents: Please record the attached original documents or copy thereof.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                           |                                                                                     |
| <b>1. Name of conveying party(ies):</b><br><br>Avi J. Ashkenazi<br><br>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <b>2. Name and address of receiving party(ies):</b><br><br>Name: <u>GENENTECH, INC.</u><br>Internal Address:<br>Street Address: <u>1 DNA Way</u><br>City: <u>South San Francisco</u> State: <u>California</u><br>ZIP: <u>94080-4990</u><br>Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |                                                                                     |
| <b>3. Nature of conveyance:</b><br><br><input checked="" type="checkbox"/> Assignment                      Merger<br>Security Agreement<br>Change of Name<br>Other:<br><br>Execution Date: <u>2/17/2005</u>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                           |                                                                                     |
| <b>4. Application number(s) or patent number(s):</b><br><br>If this document is being filed together with a new application, the execution date of the application is:<br>A. Patent Application No.(s)                      B. Patent No.(s)<br><br><u>60/607,909</u><br><br>Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                           |                                                                                     |
| <b>5. Name and address of party to whom correspondence concerning document should be mailed:</b><br><br>Diane L. Marschang<br>GENENTECH, INC.<br>1 DNA Way<br>South San Francisco, CA 94080                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <b>6. Total number of applications and patents involved:</b> <u>1</u><br><b>7. Total fee (37 CFR 3.41):</b> \$ <u>40.00</u><br>Enclosed<br><input checked="" type="checkbox"/> Authorized to be charged to deposit account<br><b>8. Deposit account number:</b><br><u>07-0630</u>                                                                         |                                                                                     |
| DO NOT USE THIS SPACE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                           |                                                                                     |
| <b>9. Statement and signature.</b><br><br>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.<br><br>Diane L. Marschang<br>Name of Person Signing<br>Registration No. 35,600<br><br><div style="display: flex; justify-content: space-between; align-items: center;"><div style="text-align: center;"><br/>Signature</div><div style="text-align: center;"><u>2/28/2005</u><br/>Date</div></div><br>Total number of pages comprising cover sheet, attachments and document: <u>3</u><br><span style="float: right; font-size: x-small;">Revised (10/1/99)</span> |                                                                                                                                                                                                                                                                                                                                                           |                                                                                     |

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700167518

PATENT  
REEL: 016798 FRAME: 0778

438

Docket No. PR2031-1

# ASSIGNMENT

WHEREAS, Avi J. Ashkenazi, a citizen of US, residing at 1456 Tarrytown Street, San Mateo, CA 94402 (hereinafter "ASSIGNOR"), has invented a new and useful invention in

Methods of using death receptor ligands and CD20 antibodies

for which a provisional application Serial No. 60/607,808, if received (Docket No. PR2031-1) has been filed by him on September 8, 2004; and

WHEREAS, GENENTECH, INC., a corporation organized and existing under and by virtue of the laws of the State of Delaware, having a place of business at 1 DNA Way, South San Francisco, California 94080-4990, is desirous of acquiring an interest in and to said invention, and in and to the Letters Patents to be obtained therefor;

NOW, THEREFORE, be it known by all whom it may concern;

That for good and valuable consideration the receipt of which is hereby acknowledged, the said ASSIGNOR have and do hereby sell, assign, transfer and set over unto the said GENENTECH, INC., its successors and assigns, the full and exclusive right, title and interest including all rights under the Paris Convention for the Protection of Industrial Property, in and to said invention, and in and to any and all Letters Patents to be granted and issued therefor or any continuation, division, renewal, or substitute thereof, and as to Letters Patents any release or re-examination thereof, not only for, to, and in the United States of America, its territories and possessions, but for, to and in all other countries; and it has been and is hereby authorized and requested that the appropriate government agencies issue said Letters Patents to said GENENTECH, INC., in accordance with this Assignment.

Said ASSIGNOR covenants and agrees to cooperate with GENENTECH, INC., to enable said GENENTECH, INC. to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said ASSIGNOR includes prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said GENENTECH, INC., (a) for perfecting the right, title and interest herein conveyed; (b) for prosecuting any of said applications; (c) for filing and prosecuting applications for issuance of any of said patents; (d) for interference or other priority proceedings involving said invention; and (e) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expense incurred by said ASSIGNOR in providing such cooperation shall be paid for by said GENENTECH, INC.

The terms and covenants of this assignment shall inure to the benefit of said GENENTECH, INC., its successors, assigns and other legal representatives, and shall be binding upon said ASSIGNOR, their respective heirs, legal representatives and assigns.

Said ASSIGNOR hereby warrants and represents that he has not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF I undersign as follows;

South San Francisco

Dated: 2/17/05

Avi J. Ashkenazi  
Avi J. Ashkenazi

PATENT  
REEL: 015798 FRAME: 0779

Genentech, Inc.  
Genent ch, Inc.  
Genentech, Inc.

FACSIMILE TRANSMITTAL

1 DNA WAY  
South San Francisco, CA 94080  
(415) 225-1000  
Facsimile: (650) 952-6861

**CERTIFICATION OF FACSIMILE TRANSMISSION UNDER 37 CFR § 1.8**

I hereby certify that this paper is being facsimile transmitted to the Patent and Trademark Office on the date shown below.

Diane L. Marschang

Type or print name of person signing certification

Signature

Diane L. Marschang

Date:

2/28/2005

DATE: February 28, 2005

Please deliver the following page(s) to:

NAME: Mail Stop: Assignments  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Fax No.: 1-703-306-5995

FROM: Diane L. Marschang  
Registration No.: 35,600

RE: U.S. Serial No.: 60/607,909  
Our Docket No.: PR2031-1

Number of Pages Including this cover sheet - 3

**CONFIDENTIAL NOTE**

The documents accompanying this facsimile transmission contain information from GENENTECH, INC. which is confidential or privileged. The information is intended only for the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution, or use of the contents of this faxed information is strictly prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the return of the original documents to us and the retransmission of them to the intended recipient.

If you do not receive all pages, please notify Mona Beltran at (650) 225-6383.

RECORDED: 02/28/2005

PATENT  
REEL: 015798 FRAME: 0780

Xg 440

**TRADUCCION AL ESPAÑOL del Documento de Cesión a GENENTECH, INC.**  
**firmado por los cedentes y el cesionario.**

---

**APOSTILLA**

**(Convención de La Haya del 5 de octubre de 1961)**

1. País: Estados Unidos de América

Este documento público

2. ha sido firmado por T. Lawrence  
3. actuando en capacidad de Funcionario que Certifica  
4. lleva el sello/timbre de la Oficina de marcas y patentes

**Certificado**

5. en Washington D.C.  
6. el veintinueve de Marzo de 2007  
7. por el Funcionario de autenticación asistente, Departamento de Estado  
de Estados Unidos  
8. No. 07017970-2  
9. Sello/timbre

10. Firma

(Firma)

Sonya N. Johnson

[sello]

441

**LOS ESTADOS UNIDOS DE AMÉRICA  
A TODO AQUEL QUE PUEDA LLEGARLE LA PRESENTE:**

**DEPARTAMENTO DE COMERCIO DE ESTADOS UNIDOS  
Oficina de Marcas y Patentes de Estados Unidos**

**Marzo 5 de 2007**

**ESTE ES PARA CERTIFICAR QUE EL ANEXO ES UNA COPIA VERDADERA  
DE LOS ARCHIVOS DE ESTA OFICINA DE UN DOCUMENTO ARCHIVADO  
EL 28 DE FEBRERO, 2005.**

**Por autoridad del  
Subsecretario de Comercio para la Propiedad Intelectual  
y Director de la Oficina de Marcas y Patente de Estados Unidos**

**T. LAWRENCE  
Funcionario que Certifica**

2X 442

| HOJA DE PORTADA DEL FORMULARIO DE REGISTRO SOLAMENTE PATENTES                                                                                                                                                                                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                | Departamento de Comercio<br>Oficina de Marcas y Patentes<br>Expediente de abogado No. PR2179 |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| Comisionado Asistente para patentes: Por favor archive los documentos originales anexos o copias de los mismos                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                |                                                                                              |
| 1. Nombre de la(s) parte(s) cedente(s):<br>Avi J. Ashkenazi<br><small>¿Se anexa(n) nombre(s) adicional(es) de parte(s) cedente(s)?</small> <input type="checkbox"/> SI <input checked="" type="checkbox"/> No                                                                                                                                                                                                                | 2. Nombre y dirección de la(s) parte(s) receptora(s)<br>Nombre: <u>GENENTECH, INC.</u><br>Dirección interna:<br>Dirección: <u>1 DNA Way</u><br>Ciudad: <u>South San Francisco</u> Estado: <u>California</u><br>ZIP: <u>94080-4990</u><br><small>¿Se anexan Nombre(s) y dirección(es) adicional(es)?</small> <input type="checkbox"/> SI <input checked="" type="checkbox"/> No |                                                                                              |
| 3. Naturaleza del traspaso:<br><input checked="" type="checkbox"/> Cesión                      Fusión<br>Acuerdo de Seguridad<br>Cambio de Nombre<br>Otro:<br>Fecha de Ejecución: <u>2/17/2005</u>                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                |                                                                                              |
| 4. Numero(s) de solicitud o número(s) de patente:<br>Si este documento se presenta junto con una nueva solicitud, la fecha de ejecución de la solicitud es:<br>A. Solicitud de patente No(s).                      B. Patente No(s).<br><u>60/807,909</u><br><small>¿Se anexa números adicionales?</small> <input type="checkbox"/> SI <input checked="" type="checkbox"/> No                                                |                                                                                                                                                                                                                                                                                                                                                                                |                                                                                              |
| 5. Nombre y dirección de la parte a quien se le debe enviar la correspondencia:<br><br>Diane L. Marchang<br>GENENTECH, INC.<br>1DNA Way<br>South San Francisco, CA 94080                                                                                                                                                                                                                                                     | 6. Numero total de solicitudes y patentes involucradas: <u>1</u>                                                                                                                                                                                                                                                                                                               |                                                                                              |
|                                                                                                                                                                                                                                                                                                                                                                                                                              | 7. Tarifa total (37 C.F.R 3.41): <u>\$40.00</u><br><br><input type="checkbox"/> Adjunta<br><input checked="" type="checkbox"/> Autorizado para cargarla a cuenta de depósito                                                                                                                                                                                                   |                                                                                              |
|                                                                                                                                                                                                                                                                                                                                                                                                                              | 8. Número de cuenta de Depósito:<br><u>07-0630</u>                                                                                                                                                                                                                                                                                                                             |                                                                                              |
| NO USE ESTE ESPACIO                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                |                                                                                              |
| 9. Declaración y firma.<br>hasta donde se y creo, la información anterior es verdadera y correcta y cualquier copia anexa es una copia verdadera del documento original.<br><u>Diane L. Marchang</u> <u>(Firma)</u> <u>2/28/2005</u><br>Nombre de la persona que firma                      Firma                      Fecha<br>Registro No. 49,075<br>Número total de páginas que comprenden portada, anexos y documento: 3 |                                                                                                                                                                                                                                                                                                                                                                                |                                                                                              |

443

**CESIÓN**

CONSIDERANDO QUE, Avi J. Ashkenazi, un ciudadano de los EU, residente en 1456 Tarrytown Street, San Mateo, CA 94402 (en adelante referidos como "CEDENTE"), han inventado una invención nueva y útil

**MÉTODOS PARA UTILIZAR LIGANDOS DE RECEPTOR MUERTO Y ANTICUERPOS CD20**

para la cual se presentó la solicitud provisional con No. de Serie 60/607.909 (Expediente No. PR2031-1) el 8 de Septiembre de 2004; y

CONSIDERANDO QUE, GENENTECH, INC., una corporación organizada y existente bajo y por virtud de las leyes del Estado de Delaware, que tiene oficinas en 1 DNA Way, South San Francisco, California 94080-4990, está deseosa de adquirir un interés en y para dicha invención, y en y para las patentes que se obtendrán de la misma;

AHORA, POR LO TANTO, téngase por sabido por todo aquel que le concierne:

Que por una consideración buena y valiosa el recibo de la cual se reconoce por la presente, dicho CEDENTE ha y por la presente vende, cede, transfiere y traspasa a dicha GENENTECH, INC. sus sucesores y cesionarios, el derecho, título e interés completo y exclusivo incluyendo todos los derechos bajo la Convención de París para la Protección de la Propiedad Industrial, en y para dicha invención, y en y para cualquiera y todas las patentes que se concedan y emitan para la misma o cualquier continuación, división, renovación, o sustitución de la misma, y en cuanto a patentes cualquier reemisión o reexaminación de las mismas, no solo para, por y en los Estados Unidos de América, sus territorios y posesiones, sin para, por y en todos los otros países; y se ha y por la presente se autoriza y solicita que las agencias gubernamentales respectivas emitan dichas patentes a GENENTECH, INC. de acuerdo con esta cesión.

Dicho CEDENTE garantiza y acuerda cooperar con GENENTECH, INC., para posibilitar a dicha GENENTECH, INC., a disfrutar hasta su máxima extensión el derecho, título e interés aquí cedido en Estados Unidos y los países extranjeros. Tal cooperación por dichos CEDENTE incluye la pronta producción de hechos y documentos pertinentes, dando testimonio, ejecutando peticiones, juramentos, especificaciones, declaraciones u otros documentos, y otra ayuda todas hasta el punto considerado necesario o deseable por dichas GENENTECH, INC. (a) para perfeccionar el derecho, título e interés aquí cedido; (b) para procesar cualquiera de dichas solicitudes; (c) para presentar y procesar solicitudes de reemisión de cualquiera de dichas patentes; (d) para procesos de interferencia u otros procesos de prioridad que involucren dicha invención; y (e) para procedimientos legales que involucren dicha invención y cualquier solicitud de la misma y cualquier patente concedida sobre la misma, incluyendo sin limitación procedimientos de oposición, procedimientos de cancelación, disputas de prioridad, procesos de uso público, acciones de violación y acciones de la corte; con la condición que los gastos incurridos por dicho CEDENTE al proporcionar dicha cooperación deban ser pagados por GENENTECH, INC.

Los términos y garantías de esta cesión deben lastimar a beneficio de dicha GENENTECH, INC. sus sucesores, cesionarios y otros representantes legales, y deberá ser obligante sobre dichos CEDENTE, sus respectivos herederos, representantes legales y cesionarios.

Dicho CEDENTE por la presente garantizan y manifiestan que no ha entrado y no entrará en ninguna cesión, contrato o entendimiento en conflicto con la presente.

EN TESTIMONIO DE LO CUAL suscribimos como sigue:

South San Francisco

\_\_\_\_\_  
(Firma)  
Avi J. Ashkenazi

Fechado: 2/17/05

**PATENTE**  
**R LLO: 015798 CUADRO: 0779**

444

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

1. Country: *United States of America*

This public document

2. has been signed by E. Bornett

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 twenty-third of April, 2007

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

8. No. 07020554-3

9. Seal/Stamp:

10. Signature:



Patrick O. Hatchett

Sobornia  
X 445

A 7065884

# UNITED STATES OF AMERICA

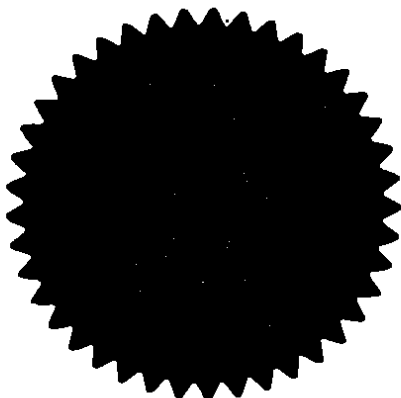
~~TO ALL TO WHOM THESE PRESENTS SHALL COME:~~

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office

March 05, 2007

THIS IS TO CERTIFY THAT ANNEXED IS A TRUE COPY FROM THE  
RECORDS OF THIS OFFICE OF A DOCUMENT RECORDED ON  
AUGUST 24, 2005.

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



*E. Bornett*  
E. BORNETT  
Certifying Officer

446

RECORDATION FORM COVER SHEET.  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

Any Dkt No: PR2001-1A

Consolidation for Patents: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Avi J. Ashkenazi

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

## 2. Name and address of receiving party(ies):

Name: GENENTECH, INC.

Internal Address:

Street Address: 1 DNA WayCity: South San Francisco State: CaliforniaZIP: 94080-4990Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment

Merger

Security Agreement

Change of Name

Other:

Execution Date: 8/15/05

## 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)

B. Patent No.(s)

60/666,553Additional numbers attached? ☐ Yes ☒ No

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

Diane L. Marschang  
GENENTECH, INC.  
1 DNA Way  
South San Francisco, CA 940806. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41): \$ 40.00☐ Enclosed☒ Authorized to be charged to deposit account

## 8. Deposit account number:

07-0630

DO NOT USE THIS SPACE

## 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.

Diane L. Marschang  
Name of Person Signing  
Registration No. 35,600Diane L. Marschang  
SignatureAugust 24, 2005  
DateTotal number of pages comprising cover sheet, attachments and document: 3

Revised (08/1/05)

700205563

PATENT  
REEL: 016663 FRAME: 0176

CH 340 00 070630 60666553

*447*

Docket No. PR2031-1A

**ASSIGNMENT**

WHEREAS, Avi J. Ashkenazi, a citizen of US, residing at 1456 Tarrytown Street, San Mateo, CA 94402 (hereinafter "ASSIGNOR"), has invented a new and useful invention in

**Methods of using death receptor ligands and CD20 antibodies**

for which a provisional application Serial No. 60/666,553, if received (Docket No. PR2031-1A) has been filed by him on March 30, 2005; and

WHEREAS, GENENTECH, INC., a corporation organized and existing under and by virtue of the laws of the State of Delaware, having a place of business at 1 DNA Way, South San Francisco, California 94080-4990, is desirous of acquiring an interest in and to said invention, and in and to the Letters Patents to be obtained therefor;

NOW, THEREFORE, be it known by all whom it may concern:

That for good and valuable consideration the receipt of which is hereby acknowledged, the said ASSIGNOR have and do hereby sell, assign, transfer and set over unto the said GENENTECH, INC., its successors and assigns, the full and exclusive right, title and interest including all rights under the Paris Convention for the Protection of Industrial Property, in and to said invention, and in and to any and all Letters Patents to be granted and issued therefor or any continuation, division, renewal, or substitute thereof, and as to Letters Patents any release or re-examination thereof, not only for, to, and in the United States of America, its territories and possessions, but for, to and in all other countries; and it has been and is hereby authorized and requested that the appropriate government agencies issue said Letters Patents to said GENENTECH, INC., in accordance with this Assignment.

Said ASSIGNOR covenants and agrees to cooperate with GENENTECH, INC., to enable said GENENTECH, INC. to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said ASSIGNOR includes prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said GENENTECH, INC., (a) for perfecting the right, title and interest herein conveyed; (b) for prosecuting any of said applications; (c) for filing and prosecuting applications for relevance of any of said patents; (d) for interference or other priority proceedings involving said invention; and (e) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expenses incurred by said ASSIGNOR in providing such cooperation shall be paid for by said GENENTECH, INC.

The terms and covenants of this assignment shall inure to the benefit of said GENENTECH, INC., its successors, assigns and other legal representatives, and shall be binding upon said ASSIGNOR, their respective heirs, legal representatives and assigns.

Said ASSIGNOR hereby warrants and represents that he has not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF I undersign as follows:

South San Francisco

Dated: 8/15/05

*Avi J. Ashkenazi*  
Avi J. Ashkenazi

REC RD: 08/24/2005

PATENT  
REEL: 016663 FRAME: 0177

**TRADUCCION AL ESPAÑOL del Documento de Cesión a GENENTECH, INC.  
firmado por los cedentes y el cesionario.**

---

**APOSTILLA**

**(Convención de La Haya del 5 de octubre de 1961)**

**1. País: Estados Unidos de América**

**Este documento público**

- 2. ha sido firmado por E. Bornett**
- 3. actuando en capacidad de Funcionario que Certifica**
- 4. lleva el sello/timbre de la Oficina de marcas y patentes**

**Certificado**

- 5. en Washington D.C.**
- 6. el veintitrés de Abril de 2007**
- 7. por el Funcionario de autenticación asistente, Departamento de Estado de Estados Unidos**
- 8. No. 07020554-3**
- 9. Sello/timbre**
- 10. Firma**

**(Firma)**  
\_\_\_\_\_  
**Patrick O. Hatchett**

**[sello]**

449  
X

**LOS ESTADOS UNIDOS DE AMÉRICA  
A TODO AQUEL QUE PUEDA LLEGARLE LA PRESENTE:**

**DEPARTAMENTO DE COMERCIO DE ESTADOS UNIDOS  
Oficina de Marcas y Patentes de Estados Unidos**

**Marzo 5 de 2007**

**ESTE ES PARA CERTIFICAR QUE EL ANEXO ES UNA COPIA VERDADERA  
DE LOS ARCHIVOS DE ESTA OFICINA DE UN DOCUMENTO ARCHIVADO  
EL 28 DE FEBRERO, 2005.**

**Por autoridad del  
Subsecretario de Comercio para la Propiedad Intelectual  
y Director de la Oficina de Marcas y Patente de Estados Unidos**

**E. BORNETT  
Funcionario que Certifica**

450  
D

| HOJA DE PORTADA DEL FORMULARIO DE<br>REGISTRO<br>SOLAMENTE PATENTES                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                  | Departamento de Comercio<br>Oficina de Marcas y Patentes<br>Expediente de abogado No. PR2179 |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------|
| Comisionado Asistente para patentes: Por favor archive los documentos originales anexos o copias de los mismos                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                              |
| 10. Nombre de la(s) parte(s) cedente(s):<br><br>Avi J. Ashkenazi<br><br><small>(Se anexo(n) nombre(s) adicional(es) de parte(s) cedente(s)? _ SI <input checked="" type="checkbox"/> No</small>                                                                                                                                                                                                                                                  | 11. Nombre y dirección de la(s) parte(s) receptora(s)<br><br>Nombre: <u>GENENTECH, INC.</u><br><br>Dirección interna:<br><br>Dirección: <u>1 DNA Way</u><br><br>Ciudad: <u>South San Francisco</u> Estado: <u>California</u><br><br>ZIP: <u>94080-4990</u><br><br><small>(Se anexas Nombre(s) y dirección(es) adicional(es)? _ SI <input checked="" type="checkbox"/> No</small> |                                                                                              |
| 12. Naturaleza del traspaso:<br><br><input checked="" type="checkbox"/> Cesión                      Fusión<br><br>Acuerdo de Seguridad<br><br>Cambio de Nombre<br><br>Otro:<br><br>Fecha de Ejecución: 5/15/2005                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                              |
| 13. Numero(s) de solicitud o número(s) de patente:<br><br>Si este documento se presenta junto con una nueva solicitud, la fecha de ejecución de la solicitud es:<br><br>A. Solicitud de patente No(s).                      B. Patente No(s).<br><br>60/866,553<br><br><small>(Se anexo números adicionales? _ SI <input checked="" type="checkbox"/> No</small>                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                              |
| 14. Nombre y dirección de la parte a quien se le debe enviar la correspondencia:<br><br><br><br>Diane L. Marechang<br>GENENTECH, INC.<br>1DNA Way<br>South San Francisco, CA 94080                                                                                                                                                                                                                                                               | 15. Numero total de solicitudes y patentes involucradas: <u>1</u>                                                                                                                                                                                                                                                                                                                |                                                                                              |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 16. Tarifa total (37 C.F.R 3.41): <u>\$40.00</u><br><br><input type="checkbox"/> Adjunta<br><input checked="" type="checkbox"/> Autorizado para cargarla a cuenta de depósito                                                                                                                                                                                                    |                                                                                              |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 17. Número de cuenta de Depósito:<br><u>07-0630</u>                                                                                                                                                                                                                                                                                                                              |                                                                                              |
| NO USE ESTE ESPACIO                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                              |
| 18. Declaración y firma.<br>hasta donde se y creo, la información anterior es verdadera y correcta y cualquier copia anexa es una copia verdadera del documento original.<br><br><u>Diane L. Marechang</u> <u>(Firma)</u> <u>August 28, 2005</u><br>Nombre de la persona que firma                      Firma                      Fecha<br><br>Registro No. 49,075<br><br>Número total de páginas que comprenden portada, anexos y documento: 3 |                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                              |

700205563

PATENTE  
ROLLO: 016663 CUADRO: 0176

451

## CESIÓN

CONSIDERANDO QUE, Avi J. Ashkenazi, un ciudadano de los EU, residente en 1456 Tarrytown Street, San Mateo, CA 94402 (en adelante referidos como "CEDENTE"), han inventado una invención nueva y útil

### MÉTODOS PARA UTILIZAR LIGANDOS DE RECEPTOR MUERTO Y ANTICUERPOS CD20

para la cual se presentó la solicitud provisional con No. de Serie 60/666,553 (Expediente No. PR2031-1A) el 30 de Marzo de 2005; y

CONSIDERANDO QUE, GENENTECH, INC., una corporación organizada y existente bajo y por virtud de las leyes del Estado de Delaware, que tiene oficinas en 1 DNA Way, South San Francisco, California 94080-4980, está deseosa de adquirir un interés en y para dicha invención, y en y para las patentes que se obtendrán de la misma;

AHORA, POR LO TANTO, téngase por sabido por todo aquel que le concierna:

Que por una consideración buena y valiosa el recibo de la cual se reconoce por la presente, dicho CEDENTE ha y por la presente vende, cede, transfiere y traspasa a dicha GENENTECH, INC. sus sucesores y cesionarios, el derecho, título e interés completo y exclusivo incluyendo todos los derechos bajo la Convención de París para la Protección de la Propiedad Industrial, en y para dicha invención, y en y para cualquiera y todas las patentes que se concedan y emitan para la misma o cualquier continuación, división, renovación, o sustitución de la misma, y en cuanto a patentes cualquier reemisión o reexaminación de las mismas, no solo para, por y en los Estados Unidos de América, sus territorios y posesiones, sin para, por y en todos los otros países; y se ha y por la presente se autoriza y solicita que las agencias gubernamentales respectivas emitan dichas patentes a GENENTECH, INC. de acuerdo con esta cesión.

Dicho CEDENTE garantiza y acuerda cooperar con GENENTECH, INC., para posibilitar a dicha GENENTECH, INC., a disfrutar hasta su máxima extensión el derecho, título e interés aquí cedido en Estados Unidos y los países extranjeros. Tal cooperación por dichos CEDENTE incluye la pronta producción de hechos y documentos pertinentes, dando testimonio, ejecutando peticiones, juramentos, especificaciones, declaraciones u otros documentos, y otra ayuda todas hasta el punto considerado necesario o deseable por dichas GENENTECH, INC. (a) para perfeccionar el derecho, título e interés aquí cedido; (b) para procesar cualquiera de dichas solicitudes; (c) para presentar y procesar solicitudes de reemisión de cualquiera de dichas patentes; (d) para procesos de interferencia u otros procesos de prioridad que involucren dicha invención; y (e) para procedimientos legales que involucren dicha invención y cualquier solicitud de la misma y cualquier patente concedida sobre la misma, incluyendo sin limitación procedimientos de oposición, procedimientos de cancelación, disputas de prioridad, procesos de uso público, acciones de violación y acciones de la corte; con la condición que los gastos incurridos por dicho CEDENTE al proporcionar dicha cooperación deban ser pagados por GENENTECH, INC.

Los términos y garantías de esta cesión deben lastimar a beneficio de dicha GENENTECH, INC. sus sucesores, cesionarios y otros representantes legales, y deberá ser obligante sobre dichos CEDENTE, sus respectivos herederos, representantes legales y cesionarios.

Dicho CEDENTE por la presente garantizan y manifiestan que no ha entrado y no entrará en ninguna cesión, contrato o entendimiento en conflicto con la presente.

EN TESTIMONIO DE LO CUAL suscribimos como sigue:

South San Francisco

(Firma)  
Avi J. Ashkenazi

Fechado: 8/15/05

CERTIFICAD : 08/24/2005

PATENTE  
R LLO: 015798 CUADR : 0779