

For true copy

Patent Case PAT057557

ASSIGNMENT

This Assignment Agreement is entered into by and between

MILOUD ACHOUR, c/o NOVARTIS PHARMA AG, POSTFACH, 4002 BASEL, CH, a citizen of FRANCE;

BRUNO GALLI, c/o NOVARTIS PHARMA AG, POSTFACH, 4002 BASEL, CH, a citizen of SWITZERLAND;

EDGAR JOHN, c/o NOVARTIS PHARMA AG, POSTFACH, 4002 BASEL, CH, a citizen of GERMANY;

MICHAEL JUHNKE, c/o NOVARTIS PHARMA AG, POSTFACH, 4002 BASEL, CH, a citizen of GERMANY;

DRAGUTIN KNEZIC, 80 HOPE AVENUE, APT 112, WALTHAM, MA 02453, USA, a citizen of CROATIA;

VISHAL SHAMJI KORADIA, c/o NOVARTIS PHARMA AG, POSTFACH, 4002 BASEL, CH, a citizen of INDIA;

RITA RAMOS, c/o NOVARTIS PHARMA AG, POSTFACH, 4002 BASEL, CH, a citizen of PORTUGAL

(hereinafter "Inventor(s)"), and **NOVARTIS PHARMA AG, SWITZERLAND, ST. JOHANN, POSTFACH, FORUM 1, 4056 BASEL, CH, a company organized under the laws of SWITZERLAND.**

For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, I/We the Inventor(s) do hereby confirm and agree that, by operation of law and/or contract, and/or by the fulfillment of any and all legal requirements regarding the transfer of employee inventions in my/our country of employment, NOVARTIS PHARMA AG, SWITZERLAND is the true and lawful owner of all right, title and interest in all inventions, discoveries, patents/utility models, applications, and rights described in paragraphs (1) through (8) below.

If, however, under the laws of any country, I/We the Inventor(s) nevertheless have any ownership right, title or interest in any of the items described herein (which I/We do not believe to be the case and make no claim in or to), for good and valuable consideration, the receipt and adequacy of which is hereby acknowledged, I/We the Inventor(s) do hereby sell, assign and transfer to NOVARTIS PHARMA AG, SWITZERLAND and its successors, assigns and legal representatives (hereinafter referred to collectively as the "ASSIGNEE"), all of our right, title and interest for all countries of the world in and to

(1) all of our inventions and discoveries described in the provisional or non-provisional patent, utility model, or other application(s) entitled

**A PHARMACEUTICAL COMPOSITION COMPRISING AN OXAZINE DERIVATIVE
AND ITS USE IN THE TREATMENT OR PREVENTION OF ALZHEIMER'S DISEASE**

and filed in the European Patent Office on N/A and accorded Application Number / N/A and/or filed as a PCT International Application on N/A and accorded International Patent Application Number PCT/ N/A ;

(2) the application(s) identified in paragraph (1), and all applications claiming priority from such application(s), directly or indirectly, including all national stages of any international patent application(s);

(3) the right to file patent, utility model, or other applications on any invention or discovery disclosed in any of the applications identified in paragraphs (1) and (2), including the right to file such applications on said inventions and discoveries in the names of ASSIGNEE or their designees or in our/my name, at ASSIGNEE's election and in accordance with applicable law in all countries and regions; and the right to file all patent, utility model, or other applications in all countries and regions claiming the priority of any of the provisional or non-provisional application(s) identified in paragraphs (1) or (2);

(4) all rights to claim priority from any of the applications referred to in paragraphs (1), (2), and (3) or from any application from which any of the applications referred to in paragraphs (1), (2) and (3) claim priority in all countries and regions under the Paris Convention for the Protection of Industrial Property, the WTO GATT TRIPS Agreement, 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 is a provisional patent application, under 35 USC 119(e);

(5) all continuations, continuations-in-part, and divisionals of any United States patent application(s) or international patent application(s) designating the United States, any national stages of any international application(s), and any other patent application(s) described in paragraphs (1) through (4) hereof, including further continuations, continuations-in-part, and divisionals such as, but not limited to, continuations of continuations and continuations of divisionals;

(6) all patents, utility models, or other grants that issue from any of the applications referred to herein and all rights and remedies associated therewith including the right to sue for and recover past damages and to recover under 35 U.S.C. § 154 (d) or any other law permitting remedies for infringement prior to issuance of the patent;

(7) all registrations and confirmations of, and importation certificates based upon, one or more of said patents, utility models, or other grants, and applications for such registrations, confirmations and importation certificates and;

(8) all reissues, renewals and extensions of said patents, utility models, 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 to the full ends of the terms for which said patents, utility models, 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 me/us if this sale, assignment and transfer had not been made.

I/We the Inventor(s) hereby authorize ASSIGNEE and their representatives to insert in paragraph (1) of this Assignment the filing date(s) and Application Number(s) of said patent, utility model, or other application(s) when notified thereof.

I/We the Inventor(s) hereby covenant and agree that I/We will, at any time, (i) upon the request, but at the expense, of ASSIGNEE, execute and deliver all documents that may be necessary or desirable to perfect the title to the foregoing inventions and discoveries, applications, patents, utility models, registrations, confirmations, importation certificates, reissues, renewals, extensions, reexamination certificates, supplementary protection certificates, and applications within the scope of (7) and (8), in ASSIGNEE, including the execution and procurement of all further documents evidencing this sale, assignment and transfer as may be necessary or desirable for 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 execute all additional applications within the scope of paragraphs (1) through (6) and all applications within the scope of (7) or (8), 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.

Should any provision of this Assignment be deemed invalid or unenforceable by reason of any law, statute, regulation or judgment, existing now or in the future in any jurisdiction, such provision shall be modified in such jurisdiction so as to nearly approximate the intent of the Parties. If this cannot be done, such invalid or unenforceable provision shall be divisible and be deleted in any such jurisdiction, and all other provisions shall remain in full force and effect. The modification or deletion of any provision in one jurisdiction shall have no effect on this Assignment in any other jurisdiction.

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

Executed this _____ day of _____, 20____.

MILOUD ACHOUR

Witness

Witness

Executed this _____ day of _____, 20____.

BRUNO GALLI

Witness

Witness

Executed this _____ day of _____, 20____.

EDGAR JOHN

Witness

Witness

Executed this _____ day of _____, 20____.

MICHAEL JUHNKE

Witness

Witness

Executed this 10 day of JAN, 2018.

Dragutin Knezic
DRAGUTIN KNEZIC

Witness

IVAN KOVACIK, 16mb 2

44 Kendall Pond Drive
Apt. G
Concord, NH 03303

Jennifer Lavoie Jennifer Lavoie
Witness

227 Sher Ln
Weymouth, MA 02190

Executed this 10 day of JAN, 2018.
(OK) 10 JAN 2018 (OK) 10 JAN 2018 (OK) 10 JAN 2018

VISHAL SHAMJI KORADIA

Witness

Witness

Executed this _____ day of _____, 20____.

RITA RAMOS

Witness

Witness

NOVARTIS PHARMA AG, SWITZERLAND

Executed this 15 day of January, 2018.

BY Giulia Ceccarelli
NAME: _____
Authorized Signatory

GIULIA CECCARELLI
AUTHORIZED SIGNATORY

Maria J. Franco Martins
Witness

Maria J. Franco Martins
Lichtstrasse 35
4056 Basel
Switzerland

M.B.
Witness Martina Birgin

Lichtstrasse 35
4056 Basel
Switzerland

BY Reto Halbeisen
NAME: _____
Authorized Signatory **Reto Halbeisen**
Authorized signatory

Maria J. Franco Martins
Witness

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Lichtstrasse 35
4056 Basel
Switzerland

M.B.
Witness Martina Birgin

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Page 6 of 6

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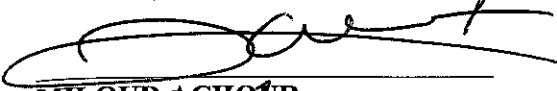
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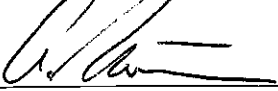
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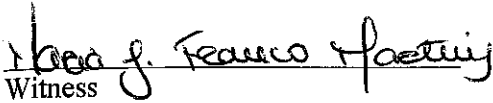
Executed this 10 day of January, 2018.


MILOUD ACHOUR

Witness

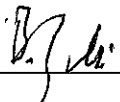
 **Aldo Hörmann**

Lichtstrasse 35
4056 Basel
Switzerland


Witness

Maria J. Franco Martins
Lichtstrasse 35
4056 Basel
Switzerland

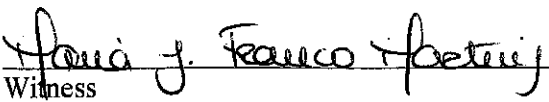
Executed this 10 day of January, 2018.


BRUNO GALLI

Witness

 **Aldo Hörmann**

Lichtstrasse 35
4056 Basel
Switzerland


Witness

Maria J. Franco Martins
Lichtstrasse 35
4056 Basel
Switzerland

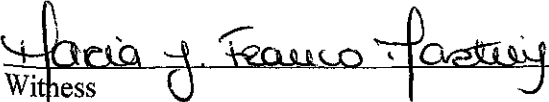
Executed this 10 day of January, 2018.


EDGAR JOHN

Witness

 **Aldo Hörmann**

Lichtstrasse 35
4056 Basel
Switzerland


Witness

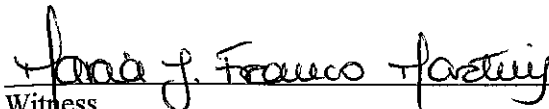
Maria J. Franco Martins
Lichtstrasse 35
4056 Basel
Switzerland

Executed this 10 day of January, 20 18.


MICHAEL JUHNKE

 Aldo Hörmann
Witness

Lichtstrasse 35
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Switzerland


Witness

Maria J. Franco Martins
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4056 Basel
Switzerland

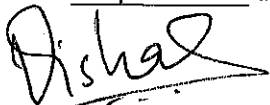
Executed this _____ day of _____, 20 ____.

DRAGUTIN KNEZIC

Witness

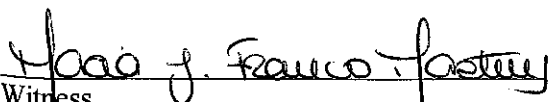
Witness

Executed this 10 day of January, 20 18.


VISHAL SHAMJIKORADIA

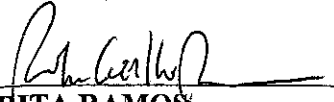
 Aldo Hörmann
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Lichtstrasse 35
4056 Basel
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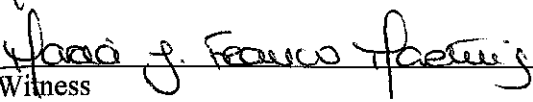

Witness

Maria J. Franco Martins
Lichtstrasse 35
4056 Basel
Switzerland

Executed this 10 day of January, 2018.



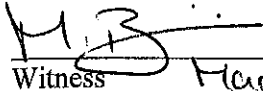
RITA RAMOS



Witness

Maria J. Franco Martins

Lichtstrasse 35
4056 Basel
Switzerland

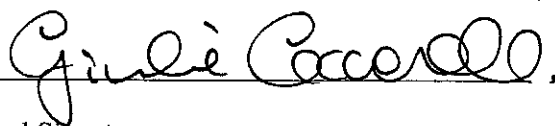


Witness Martina Burgin

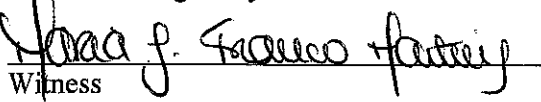
Lichtstrasse 35
4056 Basel
Switzerland

NOVARTIS PHARMA AG, SWITZERLAND

Executed this 15 day of January, 2018

BY 
NAME: _____
Authorized Signatory

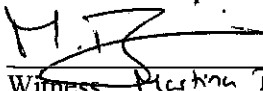
GIULIA CECCARELLI
AUTHORIZED SIGNATORY



Witness

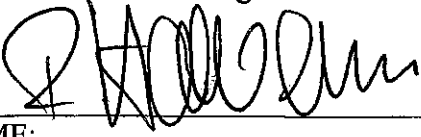
Maria J. Franco Martins

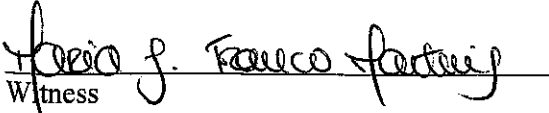
Lichtstrasse 35
4056 Basel
Switzerland



Witness Martina Burgin

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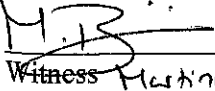

BY _____
NAME: _____
Authorized Signatory **Reto Halbelsen**
Authorized signatory



Witness

Maria J. Franco Martins

Lichtstrasse 35
4056 Basel
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Witness Martina Burgin

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For good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, NOVARTIS PHARMA AG, Switzerland does hereby sell, assign and transfer to and NOVARTIS AG and its successors, assigns and legal representatives (hereinafter referred to collectively as the "ASSIGNEE"), all of its right, title and interest for all countries of the world in and to

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BY Giulia Ceccarelli
NAME:
Authorized Signatory

GIULIA CECCARELLI
AUTHORIZED SIGNATORY

Maria J. Franco Martins
Witness

Maria J. Franco Martins
Lichtstrasse 35
4056 Basel
Switzerland

M.B.
Witness Martina Bärger

Lichtstrasse 35
4056 Basel
Switzerland

BY R. Halbeisen
NAME:
Authorized Signatory **Reto Halbeisen**
Authorized signatory

Maria J. Franco Martins
Witness

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Lichtstrasse 35
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M.B.
Witness Martina Bärger

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NOVARTIS AG

Executed this 15th day of JANUARY, 2018.

BY Elena S. Brugnera

NAME: **Elena S. Brugnera**
Authorized Signatory Authorized signatory

Jacques J. Franco Fasel
Witness

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BY Elaine Zeuss
NAME: **Elaine Zeuss**
Authorized Signatory

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Maria J. Franco Martins
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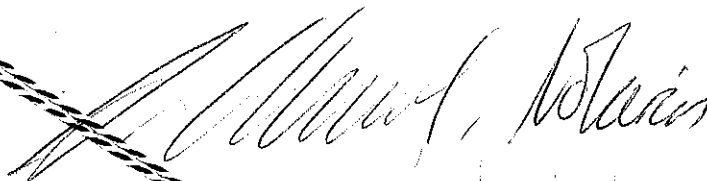
M. J. Franco Martins

Witness Martina Bärger

Lichtstrasse 35
4056 Basel
Switzerland

For true copy

Basel, 17th (seventeen) June 2019 (two thousand and nineteen)



Andrea Schmutz
Notarin

APOSTILLE

(Convention de la Haye du 5 octobre 1961)

1. Country Land **Swiss Confederation, Canton of Basel-City
Schweizerische Eidgenossenschaft, Kanton Basel-Stadt**

This public document
Diese öffentliche Urkunde

2. has been signed by
ist unterschrieben von **lic. iur. Andrea Schmutz**

3. acting in the capacity of
in seiner Eigenschaft als **Notary Public**

4. bears the stamp/seal of
Sie ist versehen mit dem
Stempel/Siegel des/der **Schmutz Andrea**

Certified / Bestätigt

5. at / in **Basel**

6. the / am **17.06.2019**

7. by the
durch das

**Legalisation Office of the Canton of Basel-City
Beglaubigungsbüro des Kantons Basel-Stadt**

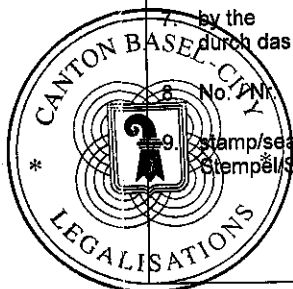
8. No. / Nr.

156084

tax / Taxe **CHF 20.00**

9. stamp/seal
Stempel/Siegel

10. Signature
Unterschrift **Daniela Bischof**



Leg. Reg. 2019/ Nr. 1323