

E.

S.

D.

REF: Expediente No. **NC2017/0007383**, solicitud de patente de invención a favor de **CELGNE ALPINE INVESTMENT COMPANY II LLC**. Título: **MÉTODOS PARA UTILIZAR OLIGONUCLEÓTIDOS ANTISENTIDO PARA SMAD7**

RESPUESTA A EXAMEN DE FORMA

JUAN PABLO CADENA SARMIENTO, portador de la tarjeta profesional No. 57.492 del C.S.J., obrando como apoderado de la sociedad solicitante me permito dar respuesta al Oficio No. 11077 notificado el 02 de agosto de 2017.

Poder

Adjunto a este memorial se presenta una copia del documento en el que consta el poder otorgado por la solicitante, para, entre otras cosas, tramitar la solicitud de patente en Colombia.

Resumen

Respecto a la objeción sobre el resumen de la invención, me permito presentar la modificación a éste, cumpliendo así los requerimientos del artículo 31 de la Decisión 486.

“En la presente se describen métodos para tratar la enfermedad intestinal inflamatoria (IBD) en un paciente que tiene IBD utilizando oligonucleótidos antisentido para SMAD7. En un aspecto, se proporciona en la presente un método para tratar o manejar la enfermedad intestinal inflamatoria (IBD) en un paciente que tiene IBD, en donde el método comprende (a) administrar al paciente un oligonucleótido antisentido para SMAD7 (AON para SMAD7) durante un primer periodo de tratamiento en una primera dosis; y (b) administrar al paciente el oligonucleótido antisentido para SMAD7 durante un segundo periodo de tratamiento en una segunda dosis. Esta invención es útil en el campo médico del tratamiento de enfermedades intestinales inflamatorias”.

Título

Respetuosamente, me permito expresar nuestro desacuerdo con la objeción sobre el título de la presente solicitud, pues, en nuestro punto de vista éste es completamente claro y corresponde en su totalidad con el objeto de la solicitud.

Reivindicaciones relativas a un uso y Excepción de la patentabilidad

De acuerdo a las disposiciones del **artículo 39** la Decisión 486, el examen de forma debe enfocarse en el cumplimiento de los requisitos de acuerdo a los artículos **26 y 27**, que, para el caso específico, corresponde al poder, resumen y título objetados por el examinador. En ninguna parte del artículo 39 se establece que deba estudiarse de fondo la patentabilidad de la invención.

“Artículo 39.- Si del examen de forma resulta que la solicitud no contiene los requisitos establecidos en los artículos 26 y 27, la oficina nacional competente notificará al solicitante para que complete dichos requisitos dentro del plazo de dos meses siguientes a la fecha de notificación. A solicitud de parte dicho plazo será prorrogable por una sola vez, por un período igual, sin que pierda su prioridad”.

Ahora bien, acogiéndonos a las disposiciones del **artículo 45**, es decir, “Si la oficina nacional competente encontrara que la invención no es patentable o que no cumple con alguno de los requisitos establecidos en esta Decisión para la concesión de la patente, lo notificará al solicitante (...)”, nos permitimos señalar que los argumentos relacionados con la materia de fondo de la invención y, en específico las objeciones relativas a uso y excepción de la patentabilidad serán presentados una vez se solicite formalmente el examen de patentabilidad de acuerdo al **artículo 44** de la decisión 486 como se evidencia continuación:

*“Artículo 44.- Dentro del plazo de seis meses contados desde la publicación de la solicitud, independientemente que se hubieren presentado oposiciones, **el solicitante deberá pedir que se examine si la invención es patentable.** Los Países Miembros podrán cobrar una tasa para la realización de este examen. Si transcurriera dicho plazo sin que el solicitante hubiera pedido que se realice el examen, la solicitud caerá en abandono” (negrilla fuera de texto)*

Anexos

- a. Poder

Atentamente,

JUAN PABLO CADENA SARMIENTO

T.P. No. 57.492 del C.S.J.
C.C. 80.410.337 de Usaquén
Calle 70 A No. 4 – 41

Brigard & Castro

BOGOTÁ - COLOMBIA

PODER

Yo (nosotros), **CELGENE ALPINE INVESTMENT COMPANY II, LLC**

domiciliado(s) en AON House, 30 Woodbourne Avenue
Pembroke, HM 08, Bermuda.

Nombro(amos) a: **JUAN PABLO CADENA SARMIENTO** y/o **MARTIN E. TORRES CARDOZO**, de Bogotá, Colombia, apoderados verdaderos y legales con poder especial, amplio y suficiente, para recabar de las oficinas y autoridades colombianas administrativas, judiciales y de policía, en cualquier instancia o recurso, la obtención de patentes de invención, registros de marcas, diseños industriales, modelos de utilidad, depósitos de nombres comerciales y enseñanzas, lemas comerciales, nombres comerciales, registros de derechos de autor y contratos sobre los mismos, obtención de certificados de obtentor de variedades vegetales, así como sus prórrogas, renovaciones, anotaciones de traspaso, cambios de nombre y/o domicilio y/o dirección; elaborar, tramitar y registrar contratos de licencia y licencias de cualesquiera clases; intervenir como demandante o como demandado en cualquier instancia y recurso ante cualquier juez, corporación, funcionario público o autoridad en acciones judiciales, administrativas y de policía tales como: oposiciones al registro de marcas; acciones de caducidad, cancelación y nulidad; acciones reivindicatorias, acciones derivadas de la obtención o explotación de licencias; acciones de competencia desleal; demandas penales; acciones de indemnización de perjuicios, reclamos y observaciones a solicitudes de patentes, diseños industriales, modelos de utilidad, en el ejercicio de medidas cautelares y en otras acciones o medidas similares.

A este efecto, lo(s) faculto(amos) para elevar solicitudes, formular descripciones, enmiendas, protestas, declaraciones, oposiciones, cancelaciones, nulidades, apelaciones y reclamos; pagar impuestos, cuotas y gravámenes prescritos por la ley; renunciar o desistir a derechos concedidos o en curso de concesión; recibir toda clase de documentos y valores, dando el descargo respectivo, y, en general, para dar ante dichas autoridades todos los pasos necesarios al efecto indicado y tomar todas las medidas que creyeren conducentes al resguardo de mis (nuestros intereses), con todas las demás facultades legales necesarias.

Este poder comprende la facultad de ratificar o confirmar en mi (nuestro) nombre lo actuado, así como la facultad de desistir, transigir, comprometer, y la de sustituirlo en todo o en parte y revocar sustituciones. Asimismo, nombro(amos) a: **JUAN PABLO CADENA SARMIENTO** y/o **MARTIN E. TORRES CARDOZO**, domiciliado(s) en la calle 70A No. 4-41, mis (nuestros) apoderados en Colombia, con facultades para recibir notificaciones y designar apoderados judiciales o extrajudiciales.

Otorgado y firmado en

hoy de de 2017

Firma

Nombre
Cargo

POWER OF ATTORNEY

I (We), **CELGENE ALPINE INVESTMENT COMPANY II, LLC**

domiciled in AON House, 30 Woodbourne Avenue
Pembroke, HM 08, Bermuda.

Hereby appoints **JUAN PABLO CADENA SARMIENTO** and/or **MARTIN E. TORRES CARDOZO**, of Bogotá, Colombia, my (our) true and lawful attorneys with special, ample and sufficient power to obtain from the Colombian administrative, judicial and police offices and authorities, in any instance, privileges of patents of invention, registration of trademarks, industrial designs and utility models; registration of commercial names, slogans and emblems, registration of copyright and contracts related thereto, certificates of obtainers of vegetables varieties, as well as extensions, renewals and recordal of assignments and changes of name, domicile and address related to the above; to prepare, prosecute and register licenses of any kind; to act as plaintiff or defendant in any instance or recourse, and before any judge, corporation, public official or authority in judicial, administrative and police actions, such as: oppositions to the registration of trademarks; caducity, cancellation and nullity actions; claim actions derived from the obtaining or exploitation of licenses, action of unfair competition; criminal proceedings, actions for payment of damages; claims or observations on patent applications, models, industrial designs and utility models; in the exercise of preventive measures and in other actions or similar proceedings.

To that effect they hereby empowered to file applications, formulate descriptions, amendments, protests, declarations, oppositions, cancellations, nullities, appeals and claims; to pay taxes, quotas and assessments prescribed by law, renounce or waive the rights granted or in the process of granting; to receive all kinds of documents and valuables, giving the respective release of receipt, and, in general, to take before said authorities the necessary steps to such effect, and any measures that they may deem pertinent to the safeguard of my (our) interest(s) with all the other necessary legal powers.

This power includes the faculty to ratify or confirm desist, settle and compromise on my (our) behalf, and to substitute this power in whole or in part and to revoke substitutions. At the same time, I (We) hereby appoint **JUAN PABLO CADENA SARMIENTO** and/or **MARTIN E. TORRES CARDOZO**, domiciled in calle 70A No. 4-41, my (our) attorney(s) in fact, with powers to receive notifications and to designate judicial and extrajudicial attorneys.

Granted and signed in

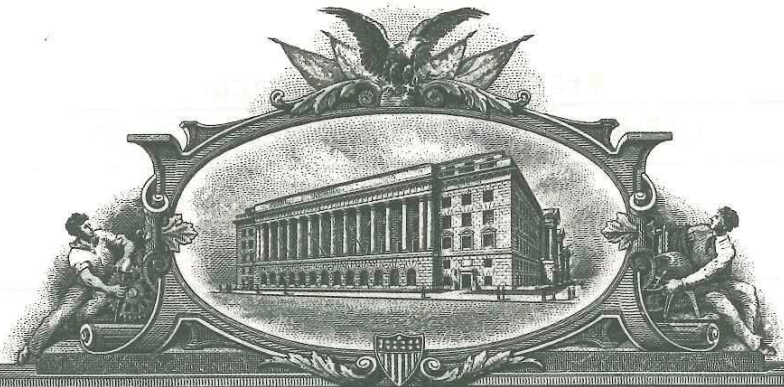
this 11 day of July 2017

Signature

Name
Title

KEVIN MELLO
MANAGER

A 7641074



THE UNITED STATES OF AMERICA

TO ALL TO WHOM THESE PRESENTS SHALL COME:

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office

July 05, 2017

THIS IS TO CERTIFY THAT ANNEXED IS A TRUE COPY FROM THE
RECORDS OF THIS OFFICE OF A DOCUMENT RECORDED ON
DECEMBER 11, 2015.

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




R GLOVER
Certifying Officer

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT3655268

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
SCOTT ANDREW SMITH	11/30/2015
XIAOBIN LI	12/08/2015
GUILLERMO ROSSITER	12/01/2015
PHILIPPE L. MARTIN	12/01/2015
SETH R. DEWACKER	12/01/2015
KEITH USISKIN	12/01/2015
GARY ALLAN CLINE	12/02/2015
RECEIVING PARTY DATA	
Name:	CELGENE CORPORATION
Street Address:	86 MORRIS AVENUE
City:	SUMMIT
State/Country:	NEW JERSEY
Postal Code:	07901
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	62235269
CORRESPONDENCE DATA	
Fax Number:	(212)755-7306
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
Phone:	212-326-3939
Email:	cthooresell@jonesday.com
Correspondent Name:	JONES DAY
Address Line 1:	222 EAST 41 STREET
Address Line 4:	NEW YORK, NEW YORK 10017-6702
ATTORNEY DOCKET NUMBER:	12827-873-888
NAME OF SUBMITTER:	CATHI L.G. THOORSELL
SIGNATURE:	/Cathi L.G. Thoorse/
DATE SIGNED:	12/11/2015

Total Attachments: 15

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ASSIGNMENT

Canada *AS*

JOINT-PROVISIONAL

WHEREAS, WE, Scott Andrew Smith, citizen of the United States, having a mailing address of 5 Round Top Road, Oldwick, New Jersey, 08858, United States, residing at Oldwick, NJ, US, Xiaobin Li, citizen of the United States, having a mailing address of 80 Knickerbocker Drive, Belle Mead, New Jersey, 08502, United States, residing at Belle Mead, NJ, US, Guillermo Rossiter, citizen of the United States, having a mailing address of 39 Morton Drive, Ramsey, New Jersey, 07446, United States residing at Ramsey, NJ, US, Philippe L. Martin, citizen of France, having a mailing address of 2 Constitution Court, Apt. 1003, Hoboken, New Jersey, 07030, United States, residing at Hoboken, NJ, US, Seth R. DeWacker, citizen of the United States, having a mailing address of 1 Forest Avenue, Bridgewater, New Jersey, 08807, United States residing at Bridgewater, NJ, US, Kelth Usiskin, citizen of the United States, having a mailing address of 3 Ogden Road, Mendham, New Jersey, 07945, United States, residing at Mendham, NJ, US, and Gary Allan Cline, citizen of the United States, having a mailing address of 34 Chestnut Court, Basking Ridge, New Jersey, 07920, residing at Basking Ridge, New Jersey, ASSIGNORS, are the inventors of the invention in METHODS OF USING SMAD7 ANTISENSE OLIGONUCLEOTIDES for which we have filed a provisional application for a Patent of the United States

- ☒ which is identified by Jones Day docket no. 12827-873-888
- ☒ which was filed on 09/30/2015, Application No. 62/235,269
- ☐ We hereby authorize and request attorney(s) at Jones Day, to insert here in parentheses (Application number
, filed) the filing date and application number of said application when known.

and WHEREAS, Celgene Corporation, a corporation organized and existing under the laws of the state of Delaware, and having an office for the transaction of business at 86 Morris Avenue, Summit, New Jersey, 07901, ASSIGNEE, is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States provisional application and all applications claiming priority thereto under 35 U.S.C. § 119(e) and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and all right to sue for infringement including past infringement.

AND WE HEREBY authorize and request the Commissioner for Patents and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date Nov 30, 2015 *[Signature]* L.S.
Scott Andrew Smith

Date _____, 2015 _____ L.S.
Xiaobin Li

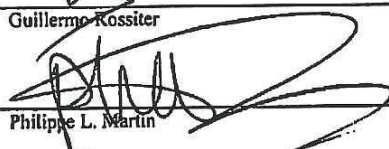
U.S. Application No. 62/235,269

Date 12/1/2015, 2015


Guillermo Rossiter

L.S.

Date 12/1/2015, 2015


Philippe L. Martin

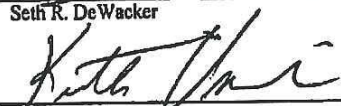
L.S.

Date 12/1, 2015


Seth R. DeWacker

L.S.

Date 12/1/15, 2015


Keith Usiskin

L.S.

Date _____, 2015

Gary Allan Cline

L.S.

STATE OF NEW JERSEY)
COUNTY OF SOMERSET) SS.:

On Nov. 30, 2015 before me, MELANIE RAE KENNAUGH, Notary Public, personally appeared Scott Andrew Smith, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature [Signature] (Seal)

STATE OF)
COUNTY OF) SS.:



On _____ before me, _____, Notary Public, personally appeared Xiaobin Li, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

STATE OF NEW JERSEY)
COUNTY OF SOMERSET) SS.:

On DEC. 01, 2015 before me, MELANIE RAE KENNAUGH, Notary Public, personally appeared Guillermo Rossiter, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature [Signature] (Seal)

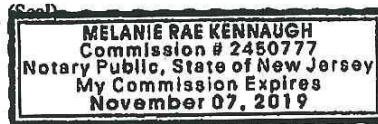


STATE OF NEW JERSEY)
COUNTY OF SOMERSET) SS.:

On Dec. 01, 2015 before me, MELANIE RAE KENNAUGH, Notary Public, personally appeared Philippe L. Martin, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature [Signature]



STATE OF NEW JERSEY)
COUNTY OF SOMERSET) SS.:

On Dec. 01, 2015 before me, MELANIE RAE KENNAUGH, Notary Public, personally appeared Seth R. DeWacker, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature [Signature] (Seal)



STATE OF NEW JERSEY)
COUNTY OF SOMERSET) SS.:

On Dec. 01, 2015 before me, MELANIE RAE KENNAUGH, Notary Public, personally appeared Keith Usiskin, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature [Signature] (Seal)



U.S. Application No. 62/235,269

STATE OF NEW JERSEY)
COUNTY OF SOMERSET) SS.:

On 22 DECEMBER 2015 before me, GARY A. CLINE, Notary Public, personally appeared Gary Allan Cline, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature Theresa M. Petras (Seal)

Theresa M. Petras
Notary Public of N.J.

My Commission Expires Dec. 28, 2018

ACCEPTED AND AGREED TO BY ASSIGNEE, Celgene Corporation:

Signature: Peter Kellogg Date: 12/10/2015

Printed Name: Peter Kellogg

Title: EVP Chief Financial Officer

ASSIGNMENT

WHEREAS, WE, Scott Andrew Smith, citizen of the United States, having a mailing address of 5 Round Top Road, Oldwick, New Jersey, 08858, United States, residing at Oldwick, NJ, US, Xiaobin Li, citizen of the United States, having a mailing address of 80 Knickerbocker Drive, Belle Mead, New Jersey, 08502, United States, residing at Belle Mead, NJ, US, Guillermo Rossiter, citizen of the United States, having a mailing address of 39 Morton Drive, Ramsey, New Jersey, 07446, United States residing at Ramsey, NJ, US, Philippe L. Martin, citizen of France, having a mailing address of 2 Constitution Court, Apt. 1003, Hoboken, New Jersey, 07030, United States, residing at Hoboken, NJ, US, Seth R. DeWacker, citizen of the United States, having a mailing address of 1 Forest Avenue, Bridgewater, New Jersey, 08807, United States residing at Bridgewater, NJ, US, Keith Usiskin, citizen of the United States, having a mailing address of 3 Ogden Road, Mendham, New Jersey, 07945, United States, residing at Mendham, NJ, US, and Gary Allan Cline, citizen of the United States, having a mailing address of 34 Chestnut Court, Basking Ridge, New Jersey, 07920, residing at Basking Ridge, New Jersey, ASSIGNORS, are the inventors of the invention in METHODS OF USING SMAD7 ANTISENSE OLIGONUCLEOTIDES for which we have filed a provisional application for a Patent of the United States

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☐ We hereby authorize and request attorney(s) at Jones Day, to insert here in parentheses (Application number
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and WHEREAS, Celgene Corporation, a corporation organized and existing under the laws of the state of Delaware, and having an office for the transaction of business at 86 Morris Avenue, Summit, New Jersey, 07901, ASSIGNEE, is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States provisional application and all applications claiming priority thereto under 35 U.S.C. § 119(e) and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and all right to sue for infringement including past infringement.

AND WE HEREBY authorize and request the Commissioner for Patents and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date _____, 2015

Scott Andrew Smith

L.S.

Date 08 Dec, 2015

Xiaobin Li

L.S.

U.S. Application No. 62/235,269

Date _____, 2015	_____ L.S. Guillermo Rossiter
Date _____, 2015	_____ L.S. Philippe L. Martin
Date _____, 2015	_____ L.S. Seth R. DeWacker
Date _____, 2015	_____ L.S. Keith Usiskin
Date _____, 2015	_____ L.S. Gary Allan Cline

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Scott Andrew Smith, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

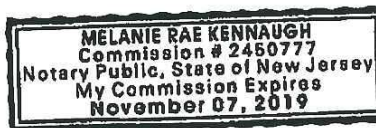
Signature _____ (Seal)

STATE OF NEW JERSEY)
) SS.:
COUNTY OF SOMERSET)

On 08 DEC 2015 before me, MELANIE RAE KENNAUGH, Notary Public, personally appeared Xiaobin Li, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)



STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Guillermo Rossiter, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Philippe L. Martin, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Seth R. DeWacker, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Keith Usiskin, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

U.S. Application No. 62/235,269

STATE OF _____)
COUNTY OF _____) SS.:

On _____ before me, _____, Notary Public, personally appeared Gary Allan Cline, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

ACCEPTED AND AGREED TO BY ASSIGNEE, Celgene Corporation:

Signature: _____ Date: _____

Printed Name: _____

Title: _____

JOINT-PROVISIONAL

ASSIGNMENT

WHEREAS, WE, Scott Andrew Smith, citizen of the United States, having a mailing address of 5 Round Top Road, Oldwick, New Jersey, 08858, United States, residing at Oldwick, NJ, US, Xiaobin Li, citizen of the United States, having a mailing address of 80 Knickerbocker Drive, Belle Mead, New Jersey, 08502, United States, residing at Belle Mead, NJ, US, Guillermo Rossiter, citizen of the United States, having a mailing address of 39 Morton Drive, Ramsey, New Jersey, 07446, United States residing at Ramsey, NJ, US, Philippe L. Martin, citizen of France, having a mailing address of 2 Constitution Court, Apt. 1003, Hoboken, New Jersey, 07030, United States, residing at Hoboken, NJ, US, Seth R. DeWaecker, citizen of the United States, having a mailing address of 1 Forest Avenue, Bridgewater, New Jersey, 08807, United States residing at Bridgewater, NJ, US, Keith Usiskin, citizen of the United States, having a mailing address of 3 Ogden Road, Mendham, New Jersey, 07945, United States, residing at Mendham, NJ, US, and Gary Allan Cline, citizen of the United States, having a mailing address of 34 Chestnut Court, Basking Ridge, New Jersey, 07920, residing at Basking Ridge, New Jersey, ASSIGNORS, are the inventors of the invention in METHODS OF USING SMAD7 ANTISENSE OLIGONUCLEOTIDES for which we have filed a provisional application for a Patent of the United States

- ☒ which is identified by Jones Day docket no. 12827-873-888
- ☒ which was filed on 09/30/2015, Application No. 62/235,269
- ☐ We hereby authorize and request attorney(s) at Jones Day, to insert here in parentheses (Application number , filed) the filing date and application number of said application when known.

and WHEREAS, Celgene Corporation, a corporation organized and existing under the laws of the state of Delaware, and having an office for the transaction of business at 86 Morris Avenue, Summit, New Jersey, 07901, ASSIGNEE, is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States provisional application and all applications claiming priority thereto under 35 U.S.C. § 119(e) and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and all right to sue for infringement including past infringement.

AND WE HEREBY authorize and request the Commissioner for Patents and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date _____, 2015 _____ L.S.
Scott Andrew Smith

Date _____, 2015 _____ L.S.
Xiaobin Li

U.S. Application No. 62/235,269

Date _____, 2015

Guillermo Rossiter

L.S.

Date _____, 2015

Philippe L. Martin

L.S.

Date _____, 2015

Seth R. DeWacker

L.S.

Date _____, 2015

Keith Usiskin

L.S.

Date DEC 2, 2015

Gary Allan Cline

L.S.

Gary A Cline

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Scott Andrew Smith, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Xiaobin Li, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Guillermo Rossiter, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

U.S. Application No. 62/235,269

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Philippe L. Martin, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Seth R. DeWacker, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

STATE OF)
) SS.:
COUNTY OF)

On _____ before me, _____, Notary Public, personally appeared Keith Usiskin, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature _____ (Seal)

U.S. Application No. 62/235,269

STATE OF NEW JERSEY)
COUNTY OF SOMERSET) SS.:

On 21 DECEMBER 2015 before me, GARY A. CLINE, Notary Public, personally appeared Gary Allan Cline, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature: Theresa M. Petras (Seal)

Theresa M. Petras
Notary Public of N.J.

My Commission Expires Dec. 29, 2018

ACCEPTED AND AGREED TO BY ASSIGNEE, Celgene Corporation:

Signature: _____

Date: _____

Printed Name: _____

Title: _____



A. 7641074

EPAS ID: PAT3588143

THE UNITED STATES OF AMERICA

TO ALL TO WHOM THESE PRESENTS SHALL COME:

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office

July 05, 2017

THIS IS TO CERTIFY THAT ANNEXED IS A TRUE COPY FROM THE
RECORDS OF THIS OFFICE OF A DOCUMENT RECORDED ON
OCTOBER 27, 2015.

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



R GLOVER
Certifying Officer

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

EPAS ID: PAT3588143

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
SCOTT ANDREW SMITH	02/18/2015
XIAOBIN LI	02/18/2015
GUILLERMO ROSSITER	02/23/2015
PHILIPPE L. MARTIN	02/23/2015
SETH R. DEWACKER	02/23/2015
RECEIVING PARTY DATA	
Name:	CELGENE CORPORATION
Street Address:	86 MORRIS AVENUE
City:	SUMMIT
State/Country:	NEW JERSEY
Postal Code:	07901
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	62097012
CORRESPONDENCE DATA	
Fax Number:	(212)755-7306
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
Phone:	650-687-4134
Email:	abrinker@jonesday.com
Correspondent Name:	ACHIM BRINKER
Address Line 1:	222 EAST 41 STREET
Address Line 4:	NEW YORK, NEW YORK 10017-6702
ATTORNEY DOCKET NUMBER:	12827-734-888
NAME OF SUBMITTER:	10/27/2015
SIGNATURE:	/Cathi L.G. Thoorsell/
DATE SIGNED:	10/27/2015
Total Attachments: 4	
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source=12827-734-888_62097012_Assignment#page4.tif

ASSIGNMENT

WHEREAS, WE, Scott Andrew Smith, citizen of Canada, having a mailing address of 5 Round Top Road, Oldwick, 08858 New Jersey, United States, residing at Oldwick, NJ, US, Xiaobin Li, citizen of the United States, having a mailing address of 80 Knickerbocker Dr., Belle Mead, 08502 New Jersey, United States, residing at Belle Mead, NJ, US, Guillermo Rossiter, citizen of the United States, having a mailing address of 39 Morton Dr., Ramsey, 07446 New Jersey, United States residing at Ramsey, NJ, US, Philippe L. Martin, citizen of France, having a mailing address of 2 Constitution Court, Apt. 1003, Hoboken, 07030 New Jersey, United States residing at Hoboken, NJ, US and Seth R. DeWacker, citizen of the United States, having a mailing address of 1 Forest Ave., Bridgewater, 08807 New Jersey, United States residing at Bridgewater, NJ, US, ASSIGNORS, are the inventors of the invention in Methods of Using SMAD7 Antisense Oligonucleotides for which we have filed a provisional application for a Patent of the United States

- ☒ which is identified by Jones Day docket no. 12827-734-888
☒ which was filed on 12/26/2014, Application No.62/097,012
☐ We hereby authorize and request attorney(s) at Jones Day, to insert here in parentheses (Application number
, filed) the filing date and application number of said application when known.

and WHEREAS, Celgene Corporation, a corporation organized and existing under the laws of the state of Delaware, and having an office for the transaction of business at 86 Morris Avenue, Summit, 07901 New Jersey, ASSIGNEE, is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, we, the said ASSIGNORS, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, our entire right, title and interest in, to and under the said invention, and the said United States provisional application and all applications claiming priority thereto under 35 U.S.C. § 119(c) and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof; and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and all right to sue for infringement including past infringement.

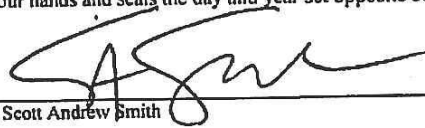
AND WE HEREBY authorize and request the Commissioner for Patents and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries.

IN TESTIMONY WHEREOF, We hereunto set our hands and seals the day and year set opposite our respective signatures.

Date 2/18/15, 2015


Scott Andrew Smith

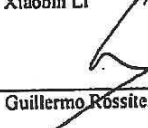
L.S.

Date 2/18/15, 2015


Xiaobin Li

L.S.

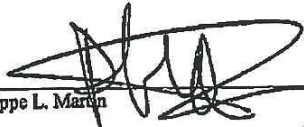
Date 2/23/15, 2015


Guillermo Rossiter

L.S.

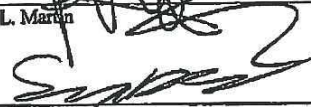
U.S. Application No. Error! Reference source not found.

Date 2/23, 2015


Philippe L. Martin

L.S.

Date 2/23, 2015


Seth R. DeWacker

L.S.

U.S. Application No. Error! Reference source not found.

STATE OF New Jersey
COUNTY OF Somerset) SS.:

On 2/18/15 before me, Susan J. Kenyon, Notary Public, personally appeared Scott Andrew Smith, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature Susan J. Kenyon (Seal)

SUSAN J KENYON
Notary Public, State of New Jersey
My Commission Expires
August 18, 2015

STATE OF New Jersey
COUNTY OF Somerset) SS.:

On 2/18/15 before me, Susan J. Kenyon, Notary Public, personally appeared Xiaobin Li, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature Susan J. Kenyon (Seal)

SUSAN J KENYON
Notary Public, State of New Jersey
My Commission Expires
August 18, 2015

STATE OF New Jersey
COUNTY OF Somerset) SS.:

On 2/23/15 before me, Susan J. Kenyon, Notary Public, personally appeared Guillermo Rossiter, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature Susan J. Kenyon (Seal)

SUSAN J KENYON
Notary Public, State of New Jersey
My Commission Expires
August 18, 2015

STATE OF New Jersey
COUNTY OF Somerset) SS.:

On 2/23/15 before me, Susan J. Kenyon, Notary Public, personally appeared Philippe L. Maron, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature Susan J. Kenyon (Seal)

SUSAN J KENYON
Notary Public, State of New Jersey
My Commission Expires
August 18, 2015

U.S. Application No. Error! Reference source not found.

STATE OF New Jersey
COUNTY OF Somerset) SS.:

On 2/23/15 before me, Susan J. Kenyon Notary Public, personally appeared Seth R. DeWacker, personally known to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal

Signature Susan J. Kenyon (Seal)

SUSAN J. KENYON
Notary Public, State of New Jersey
My Commission Expires
August 18, 2015

ACCEPTED AND AGREED TO BY ASSIGNEE, Error! Reference source not found.:

Signature: Peter Kellogg

Date: 10/23/2015

Printed Name: PETER KELLOGG

Title: EVP, CFO

