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ALIGOS THERAPEUTICS, INC.,  
13 LAWRENCE BLATT, and LEONID BEIGELMAN

14 *(Additional counsel on following page)*

15 SUPERIOR COURT FOR THE STATE OF CALIFORNIA  
16 IN AND FOR THE COUNTY OF SAN MATEO  
17 UNLIMITED CIVIL JURISDICTION

18 JANSSEN BIOPHARMA, LLC, a Delaware  
limited liability company,

19 Plaintiff,

20 v.

21 ALIGOS THERAPEUTICS, INC., a Delaware  
corporation, LAWRENCE M. BLATT, an  
22 individual, and LEONID BEIGELMAN, an  
individual,

23 Defendants.

24 ALIGOS THERAPEUTICS, INC., LAWRENCE  
M. BLATT, and LEONID BEIGELMAN,

25 Cross-Complainants,

26 v.

27 JANSSEN BIOPHARMA, LLC,

28 Cross-Defendant.

Electronically  
**FILED**  
by Superior Court of California, County of San Mateo  
ON 8/4/2022  
By /s/ Maria Coronel  
Deputy Clerk

Case No. 22-CIV-01042

**CROSS-COMPLAINANTS ALIGOS  
THERAPEUTICS, INC., LAWRENCE M.  
BLATT, AND LEONID BEIGELMAN'S  
CROSS-COMPLAINT FOR:**

- 1) DECLARATORY JUDGMENT OF UNENFORCEABILITY
- 2) DECLARATORY JUDGMENT OF OWNERSHIP
- 3) DECLARATORY JUDGMENT OF NO OBLIGATION TO ASSIGN
- 4) UNFAIR COMPETITION (BUS. & PROF. CODE § 17200)
- 5) PROMISSORY FRAUD

Dept: 22  
Judge: Honorable Danny Y. Chou  
Action Filed: March 9, 2022

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1 Cross-Complainants Aligos Therapeutics, Inc. (“Aligos Therapeutics”), Lawrence M. Blatt (“Dr.  
2 Blatt”), and Leonid Beigelman (“Dr. Beigelman”) (collectively, “Cross-Complainants”), by and through  
3 their undersigned counsel, bring this Cross-Complaint against Cross-Defendant Janssen BioPharma, LLC  
4 (“Janssen” or “Cross-Defendant”), and allege as follows:

5 **INTRODUCTION**

6 1. This matter concerns the ownership of inventions made by the employees of Aligos  
7 Therapeutics.

8 2. Aligos Therapeutics is a clinical-stage biopharmaceutical company currently focused on  
9 developing novel therapeutics to address unmet medical needs in viral and liver diseases. Aligos  
10 Therapeutics uses proprietary oligonucleotide and small molecule platforms to develop  
11 pharmacologically optimized drug candidates for use in combination regimens designed to achieve  
12 improved treatment outcomes.

13 3. To develop promising therapies, Aligos Therapeutics relies on a team of highly  
14 collaborative and experienced individuals with decades of drug discovery and development experience.

15 4. Obtaining appropriate patent protection is an essential aspect of developing drug  
16 candidates. Aligos Therapeutics will not be able to recoup the money that it is devoting to drug  
17 development if other companies will be free to copy and sell future successful products because Aligos  
18 Therapeutics did not obtain patent protection. Patent protection is also essential in order to invoke  
19 statutory protections for new drugs such as those provided for by the Hatch-Waxman Act. Aligos  
20 Therapeutics has thus sought appropriate patent protection for the inventions made by individuals while  
21 working at Aligos Therapeutics.

22 5. Only people can be inventors in a patent application, not companies. Most frequently,  
23 companies receive rights to patent applications and patents when the individual inventors “assign” rights  
24 to their inventions. Employers are not automatically entitled to all of the inventions of their employees.

25 6. Janssen has no rights to the inventions that Aligos Therapeutics’ employees have come up  
26 with while they were employed by Aligos Therapeutics. Those employees were under no obligation to  
27 assign their rights to Janssen, and they did not do so. They did assign their rights to Aligos Therapeutics.

1 Aligos Therapeutics is thus the lawful owner of a number of patent applications and issued patents  
2 relating to work done by its employees.

3 7. Janssen has nevertheless improperly asserted that Dr. Blatt, Dr. Beigelman, and others  
4 were required, by the terms of Proprietary Information and Assignment Agreements signed by each while  
5 at a company called Alios BioPharma, Inc. (“Alios BioPharma”), to assign to Janssen a wide swath of  
6 patent applications filed for by Aligos Therapeutics based on work done by its employees while they  
7 were employed at Aligos Therapeutics. Alios BioPharma was in 2014 acquired by Johnson & Johnson,  
8 at which point it became a “Janssen” company. Cross-Defendant Janssen has alleged that it is the current  
9 incarnation of Alios BioPharma, and it claims to have the rights to assert the Alios BioPharma  
10 Proprietary Information and Assignment Agreements.

11 8. The assertion by Janssen that Dr. Blatt, Dr. Beigelman, and others were required to assign  
12 to Janssen patent applications filed for by Aligos Therapeutics is contrary to law and contrary to  
13 promises that Janssen made to Dr. Blatt and Dr. Beigelman that Janssen would not interfere if they did as  
14 they have done—formed a new company to carry on their mission of bringing life-changing therapeutics  
15 to patients. Those promises are now revealed to be fraudulent.

16 9. Nor was that the extent of the fraud. Dr. Blatt and Dr. Beigelman were fraudulently  
17 induced into working for Janssen after the 2014 acquisition by promises made to them about how Janssen  
18 would operate, their roles at Janssen, the support that would be provided to promising drug candidates,  
19 and other subjects. On information and belief, those promises were made specifically to benefit Janssen  
20 by having Dr. Blatt and Dr. Beigelman provide services to Janssen rather than setting out on their own,  
21 and were false when made, as Janssen had no intention to perform. And Janssen did not perform.

22 10. Aligos Therapeutics, Dr. Blatt, and Dr. Beigelman now bring this cross-complaint to make  
23 clear that Janssen has no rights to what it did not help to create, and that its fraud has consequences.

## 24 **PARTIES**

25 11. Aligos Therapeutics is incorporated in the State of Delaware and is headquartered at 1  
26 Corporate Drive, 2<sup>nd</sup> Floor, South San Francisco, CA 94080. Aligos Therapeutics became operational in  
27 March, 2018. Aligos Therapeutics has been a publicly traded company since October 16, 2020.

28 12. Dr. Blatt is an individual residing in San Francisco, CA and is a competent adult.



1 approval; that their group could expand into broader therapeutic areas; that they would have autonomy in  
2 the management of the infectious disease portfolio at Janssen, so that they could work and act like  
3 entrepreneurs as they did while independently running Alios BioPharma prior to the merger; and that the  
4 corporate culture at Alios BioPharma would be maintained, which culture emphasized valuing all  
5 employee input, celebrating diversity, making decisions based on science, and choosing the course of  
6 conduct that was best for patients, with the understanding that with that approach, the rest would follow.  
7 These promises led Dr. Blatt and Dr. Beigelman to believe that they could, while at Janssen, develop  
8 therapies that would help patients.

9         22. In a meeting that took place prior to the close of merger at Alios BioPharma’s site,  
10 William Hait, MD, Vice President of Research and Development for Janssen, conveyed these promises to  
11 Dr. Blatt and Dr. Beigelman. Dr. Hait told Drs. Blatt and Beigelman that he was very impressed with the  
12 portfolio of antiviral drugs at Alios BioPharma, and that he wanted to inject more entrepreneurial  
13 business practices into the Infectious Diseases group at Janssen. He further explained that if Drs. Blatt  
14 and Beigelman joined Janssen, he would make sure that they could continue to work as they did as an  
15 independent biotechnology company, maintaining streamlined business practices and the Alios  
16 BioPharma corporate culture. He also said that he wanted the Alios BioPharma team to lead the Johnson  
17 & Johnson (“J&J”) infectious diseases group to become more productive and entrepreneurial, with the  
18 specific goal of achieving success more frequently and more often than had been the norm under existing  
19 leadership, which had not been successful in moving drugs from in-house projects through to approved  
20 products. When told by Dr. Blatt and Dr. Beigelman that Janssen needed to commit to bringing new  
21 drugs all the way through to Phase 3 clinical trials and then ultimately pursuing approval if it was to  
22 achieve its goals, Dr. Hait agreed that Janssen would be so committed under the leadership of Drs. Blatt  
23 and Beigelman. Dr. Blatt and Dr. Beigleman specifically raised that large pharmaceutical companies are  
24 prone to giving up on drugs prior to approval for nonscientific reasons, and that they needed the  
25 commitment that Janssen would not abandon successful drugs pre-approval. Dr. Hait assured them that  
26 Janssen was committed and that he would personally support bringing the portfolio of infectious diseases  
27 assets invented at Alios BioPharma through clinical development and onto the market. Dr. Hait further  
28 stated that he knew Dr. Blatt and Beigelman’s entrepreneurial leadership and streamlined management

1 style was going to be good for the entire J&J organization. The promises made to Drs. Beigelman and  
2 Blatt during their interactions with Dr. Hait were a key motivation in their decision to join Janssen.

3 23. In another meeting with Bill Hait and Michael Grissinger, Vice President of Business  
4 Development, Drs. Blatt and Beigelman discussed their apprehension that it would be difficult to  
5 maintain entrepreneurial practices in a company as large as Janssen. Both Dr. Hait and Mr. Grissinger  
6 reassured Drs. Blatt and Beigelman that Janssen was committed to allowing Drs. Blatt and Beigelman to  
7 maintain entrepreneurial practices and the Alios BioPharma corporate culture. Dr. Hait and Mr.  
8 Grissinger and also reassured Drs. Blatt and Beigelman that if the two wanted to leave Janssen, they  
9 would support them to start a new company, as they knew entrepreneurship was a vital part of the drug  
10 development ecosystem.

11 24. In another interaction prior to making the decision to join Janssen, Marc Schorpion, Vice  
12 President of Human Resources, met with Drs. Blatt and Beigelman to propose the specifics of their  
13 employment. Mr. Schorpion reiterated the words of Dr. Hait and told Drs. Blatt and Beigelman that they  
14 were excited to have entrepreneurs of their background and caliber join Janssen, and he was very  
15 impressed with the accomplishments and Alios BioPharma. He reiterated the need to inject  
16 entrepreneurial business practices into Janssen and promised that Drs. Blatt and Beigelman could  
17 continue to work autonomously, streamline decision-making, and maintain the Alios BioPharma  
18 corporate culture of putting the needs of patients first. He also told Drs. Blatt and Beigelman that at  
19 Janssen they would have “a bigger playground” with more resources to expand work into addition  
20 infectious disease areas. He told them they could focus their work on drug discovery and development,  
21 and they would not have to be involved in fund raising as they did at Alios BioPharma. He also  
22 referenced the Johnson & Johnson credo, which he claimed was consistent with the Alios BioPharma  
23 corporate culture and values. Mr. Schorpion also told Drs. Blatt and Beigelman that in order to  
24 incentivize them to stay at Janssen for a period of at least three years, they would be given the  
25 opportunity to earn time and achievement-based cash and stock milestones that would be an attempt to  
26 emulate stock appreciation for a biotechnology company. To this end, time and achievement-based  
27 milestones with payout after three years of service were offered to Drs. Blatt and Beigelman as part of  
28 their proposed employment compensation.

1           25.     Dr. William Hait and Michael Grissinger also promised Dr. Blatt that if Dr. Blatt and Dr.  
2 Beigelman wanted to leave, they could do so, and Janssen would not hinder their efforts to leave. That  
3 promise was made just prior to the close of the merger, in the fall of 2014. That promise led Dr. Blatt  
4 and Dr. Beigelman to believe that if things did not work out at Janssen, they could found a new company  
5 at which they would be free to continue their mission to bring promising therapies to patients without  
6 interference from Janssen. That promise was false. Far from letting Dr. Blatt and Dr. Beigelman  
7 continue their mission, Janssen has unfairly sought to restrict Dr. Blatt and Dr. Beigelman from engaging  
8 in a lawful profession—working to develop drugs to improve the lives of patients.

9           26.     Dr. Blatt and Dr. Beigelman relied on the promises made to them, to their detriment.  
10 They continued to provide services to Janssen for several years after the merger, even though they could  
11 have instead been developing drugs at an independent company, e.g. they could have founded Aligos  
12 Therapeutics earlier.

13           27.     Those promises were false when made. Janssen did not intend to keep these promises,  
14 and it did not do so. Janssen not only did not support Dr. Blatt’s and Dr. Beigelman’s work, but Janssen  
15 affirmatively impeded it. For example:

16           28.     Dr. Blatt and Dr. Beigelman learned, after they were working at Janssen, that no one at  
17 Janssen told Dr. Johan Van Hoof, the Global head of Infectious Diseases and Vaccines, that Drs. Blatt  
18 and Beigelman had been promised that they could maintain Alios BioPharma’s corporate culture and  
19 entrepreneurial business practices.

20           29.     It was also only after they began working at Janssen that Drs. Blatt and Beigelman learned  
21 that, contrary to the promises made to them about Janssen’s commitment to fund promising drugs  
22 through to Phase 3 trials and approval, their ability to advance drugs through to clinical trials would  
23 instead be tied to a specific financial model. The inputs to the model were then changed and the model  
24 was used to give Alios BioPharma projects lower rankings. Additional funding was purportedly  
25 available for research and development activities that scored well in an exercise involving a panel of  
26 judges (which panel had no expertise in infectious diseases), but that additional funding also did not  
27 materialize. These hurdles to funding did not comport with the promises made that the Alios BioPharma  
28



1 team would not only have sufficient funding to develop its existing pipeline, but it would be able to  
2 expand into other infectious disease areas.

3 30. Dr. Blatt was not permitted to focus on Alios BioPharma and its all-important drug  
4 development mission, but was instead required to expend significant time at J&J corporate bureaucracy  
5 events not relevant to the Alios mission. These other events ranged from pan-company J&J meetings at  
6 which, e.g., consumer goods were a focus; to weekly 5:00am video calls with leaders from other  
7 therapeutic areas; to sales and marketing training meetings; and more. Dr. Blatt also had been promised  
8 that he would not have to attend funding events, and contrary to that promise, was in fact required to  
9 attend lavish social events and carnival-like parties associated with investor conferences at, e.g.,  
10 nightclubs. The toll on his time of these events and the associated needless global travel was significant,  
11 leaving him without time for the work he had gone to Janssen to do, i.e, discovering and developing  
12 promising drugs to help patients. His mandatory participation was also contrary to the promises made to  
13 him about his ability to manage Alios BioPharma as before, in the mold of an entrepreneurial company.

14 31. Under Dr. Blatt's leadership, the Alios BioPharma team successfully developed a triple  
15 combination therapy for use in treating chronic hepatitis C patients, using Alios BioPharma nucleoside  
16 analog AL-335 alongside two other therapies, Odalasvir (ACH-3102) and Simeprevir. *See, e.g.,*  
17 <https://clinicaltrials.gov/ct2/show/NCT02765490>. The combination proved effective, and with just six  
18 week of therapy more than 95% of patients were cured of chronic hepatitis C. This was in contrast to 12  
19 weeks of therapy needed for the leading marketed Gilead Sciences combination therapy. Although this  
20 therapy was thus precisely the type that Dr. Blatt and Dr. Beigelman should have been permitted to  
21 advance into Phase 3 trials and seek approval for based on the promises made to them, Janssen stopped  
22 development of this combination theory in September 2017, without input from Drs. Blatt and  
23 Beigelman. That decision was devastating, contrary to patient interests, and contrary to the promises made  
24 to Drs. Blatt and Beigelman.

25 32. In keeping with the commitment that he had secured from Janssen that the group could  
26 expand into broader therapeutic areas, Dr. Blatt organized a team to investigate new approaches to a  
27 possible HIV *cure*—not a new lifelong maintenance therapy, like those in J&J's existing portfolio, but a  
28 possible cure. Researching a possible cure was consistent with Alios's mission to do what was best for

1 patients, and was the approach the team had pursued with respect to hepatitis C. Janssen, however, did  
2 not let Dr. Blatt and Dr. Beigelman form a research team to research possible new HIV cures, and denied  
3 funding to the effort. Instead, Janssen has continued to pursue its pipeline of products that must be taken  
4 for life. Janssen’s refusal to fund the work towards a possible HIV cure was contrary to the promises that  
5 had convinced Drs. Blatt and Beigelman to work at Janssen.

## 6 **FIRST CAUSE OF ACTION**

### 7 **(Declaratory Judgment of Unenforceability—All Cross-Complainants Against Janssen)**

8 33. Cross-Complainants repeat and reallege the allegations of paragraphs 1 through 32 as if  
9 fully set forth herein.

10 34. As inventors, Dr. Blatt and Dr. Beigelman own their inventions with the exception of  
11 inventions that they have lawfully assigned to others.

12 35. Dr. Blatt and Dr. Beigelman have lawfully assigned to Aligos Therapeutics full right and  
13 title in inventions that Dr. Blatt and Dr. Beigelman invented while employed with Aligos Therapeutics  
14 and while they were not employees of Janssen.

15 36. Aligos Therapeutics has filed and will file patent applications seeking to claim the  
16 inventions invented by Dr. Blatt and Dr. Beigelman and lawfully assigned to Aligos Therapeutics. The  
17 “Disputed Patent Applications” are such applications. The Disputed Patent Applications are the  
18 following patent applications and patents issuing from those patent applications and any related patent  
19 applications and issued patents (the “Disputed Patent Applications”): U.S. Patent Application Nos.  
20 17/018,822; 16/837,515; 16/849,851; 16/885,128; 17/446,651; 16/887,063; 16/676,929; and Patent  
21 Cooperation Treaty Application Nos. PCT/US2019/060283; PCT/US2020/26116; PCT/US2020/028349;  
22 PCT/US2020/034746; PCT/US2020/035212; PCT/US2021/021199. Aligos Therapeutics has prosecuted  
23 such patent applications and will continue to do so, and will continue to prosecute any other patent  
24 applications that may come into existence. Some patent applications have resulted in issued patents, and  
25 Aligos Therapeutics expects that additional patents will issue in the future.

26 37. Janssen has asserted that Dr. Blatt, Dr. Beigelman, and others are currently contractually  
27 obligated to assign the Disputed Patent Applications to Janssen under agreements entered into between  
28 those individuals on the one hand and Alios BioPharma on the other hand (the “Alios PI&A

1 Agreements”). On information and belief, the contractual assignment provision in the Alios PI&A  
2 Agreements that Janssen seeks to enforce purports to require that an employee assign to Alios Biopharma  
3 not only inventions based on Alios Biopharma’s confidential information, but also other inventions that  
4 merely “relate” to work done by Alios Biopharma and that were conceived *after* the employment ended,  
5 up to a “period of one (1) year.”

6 38. The contractual assignment provision in the Alios PI&A Agreements should be declared  
7 void and unenforceable. Dr. Blatt, Dr. Beigelman, and others were not and are not required to assign  
8 their inventions pursuant to the Alios PI&A Agreements. The assignment provision as a whole is  
9 unlawful.

10 39. California Business & Professions Code Section 16600 provides that “[e]xcept as  
11 provided in this chapter, every contract by which anyone is restrained from engaging in a lawful  
12 profession, trade, or business of any kind is to that extent void.” Cal. Bus. & Prof. Code § 16600  
13 (hereinafter “§ 16600”). An agreement requiring that an employee assign post-employment inventions is  
14 void under § 16600, and not only as to the post-employment inventions. A patent assignment clause that  
15 “broadly targets any inventions that relate[] to former employees’ work” and “conceivably encompasses  
16 both inventions based on confidential employer information and inventions relating to former . . .  
17 employees’ work” is over broad and violates § 16600. *Applied Materials, Inc. v. Advanced Micro-*  
18 *Fabrication Equip. (Shanghai) Co.*, 630 F. Supp. 2d 1084, 1090 (N.D. Cal. 2009) (alteration and  
19 quotations omitted).

20 40. An actual and justiciable controversy exists between Cross-Complainants and Janssen  
21 regarding the contractual assignment provision in the Alios PI&A Agreements.

22 41. Based on the facts and circumstances alleged herein, Cross-Complainants are entitled to a  
23 judicial declaration that the contractual assignment provision in the Alios PI&A Agreements is void and  
24 unenforceable.

## 25 **SECOND CAUSE OF ACTION**

### 26 **(Declaratory Judgment of Ownership—All Cross-Complainants Against Janssen)**

27 42. Cross-Complainants repeat and reallege the allegations of paragraphs 1 through 41 as if  
28 fully set forth herein.

1           43.     An actual controversy has arisen and now exists between Cross-Complainants on the one  
2 hand and Janssen on the other hand regarding each party's rights to and interests in at least the Disputed  
3 Patent Applications.

4           44.     Attached hereto as Exhibits 1 through 7 are true and correct copies of patent assignment  
5 records for the enumerated applications listed as Disputed Patent Applications, incorporated herein by  
6 this reference. As set forth in Exhibits 1 through 7, the inventors of the Disputed Patent Applications  
7 assigned their entire right, title and interest in each of the Disputed Patent Applications to Aligos  
8 Therapeutics.

9           45.     Janssen possesses no rights whatsoever—not any legal rights, not any equitable rights, and  
10 not any other rights—in the Disputed Patent Applications.

11           46.     Following the 2014 acquisition of Alios BioPharma by Johnson & Johnson, Dr. Blatt and  
12 Dr. Beigelman assigned numerous patent applications to Janssen as a result of the unlawfully-broad Alios  
13 PI&A Agreements. Dr. Blatt and Dr. Beigelman were not otherwise obligated to assign their inventions  
14 to Janssen. As a result of those assignments, Janssen today is listed as the assignee on a number of patent  
15 application and patents as to which Dr. Blatt and Dr. Beigelman are among the named inventors (the  
16 “Janssen Patent Applications”). The Janssen Patent Applications include at least U.S. Patent Nos.  
17 9,758,544; 9,890,188; 10,183,945; 10,208,045; 10,358,453; 10,745,427; 10,793,859; 10,905,767;  
18 11,021,511; 11,149,049; 11,180,524, U.S. Patent Application Nos. 2018/0162899; 2019/0169221;  
19 2019/0375782; 2020/0270611; 2021/0009630; 2021/0095284; 2021/0277046 and all related patents and  
20 patent applications.

21           47.     Dr. Blatt and Dr. Beigelman possess at least equitable ownership and/or other interests in  
22 the Janssen Patent Applications by virtue of the manner in which Janssen obtained its assignments to  
23 those patents, namely, through an unlawfully overbroad and unenforceable contractual assignment  
24 provision that Janssen has asserted in violation of § 16600 and § 17200.

25           48.     Based on the facts and circumstances alleged herein, Cross-Complainants are entitled to a  
26 judicial declaration that Aligos Therapeutics owns the Disputed Patent Applications.





1 Blatt and Beigelman that they would be given adequate support and funding for their projects so that  
2 promising candidates would matriculate into clinical trials and be supported through potential approval;  
3 that their group could expand into broader therapeutic areas; that they would have autonomy in the  
4 management of the infectious disease portfolio at Janssen, so that they could work and act like  
5 entrepreneurs as they did while independently running Alios BioPharma prior to the merger; and that the  
6 corporate culture at Alios BioPharma would be maintained, which culture emphasized valuing all  
7 employee input, celebrating diversity, making decisions based on science, and choosing the course of  
8 conduct that was best for patients, with the understanding that with that approach, the rest would follow.

9 63. Those promises were false when made, and knowingly false. Janssen did not have the  
10 intent to live up to the promises being made to lure Dr. Blatt and Dr. Beigelman into working at Janssen  
11 after the merger.

12 64. The purpose and intent of the false promises was to induce Dr. Blatt and Dr. Beigelman to  
13 provide their services to Janssen, and to not start another company, as they were otherwise free to do.  
14 The false promises had that intended effect; Dr. Blatt and Dr. Beigelman justifiably and reasonably relied  
15 on the false promises and provided their services to Janssen rather than taking their talent, skill, and  
16 experience elsewhere.

17 65. As a direct, proximate, and foreseeable result of the above-identified false and misleading  
18 promises, which Janssen never intended to keep and did not keep, Dr. Blatt and Dr. Beigelman have  
19 suffered irreparable harm and/or substantial damages. They are entitled to those damages in an amount  
20 to be proven at trial or to rescind their agreement to provide services to Janssen following the 2014  
21 merger.

22 66. Following the 2014 merger, Dr. Blatt and Dr. Beigelman assigned the Janssen Patent  
23 Applications to Janssen as a result of the Alios PI&A Agreements, which applied only as a result of Dr.  
24 Blatt's and Dr. Beigelman's agreement to provide their services to Janssen, which agreements are subject  
25 to rescission. Dr. Blatt and Dr. Beigelman were not otherwise obligated to assign their inventions to  
26 Janssen. As a result of the assignments that Dr. Blatt and Dr. Beigelman made, Janssen today is listed as  
27 the assignee on the Janssen Patent Applications.





- 1 i. That, at Dr. Blatt's and Dr. Beigelman's election, the Court grant rescission of Dr.  
2 Blatt's and Dr. Beigelman's agreement to be employed at Janssen, which  
3 agreement was further subject to the terms of the Alios PI&A Agreement;  
4 j. That Cross-Complainants be awarded pre- and post-judgment interest on all  
5 damages as allowed by law;  
6 k. That the Court award reasonable attorney's fees and the costs of this action; and/or  
7 l. Such other and further relief as the Court deems just and proper.  
8

9 Dated: August 4, 2022

DURIE TANGRI LLP

10  
11 By: 

DARALYN J. DURIE

12 Attorneys for Cross-Complainants  
13 ALIGOS THERAPEUTICS, INC.,  
14 LAWRENCE BLATT, and LEONID BEIGELMAN  
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1 **PROOF OF SERVICE**

2 I am employed in San Francisco County, State of California, in the office of a member of the bar  
3 of this Court, at whose direction the service was made. I am over the age of eighteen years, and not a  
4 party to the within action. My business address is 217 Leidesdorff Street, San Francisco, CA 94111.

5 On August 4, 2022, I served the following documents in the manner described below:

6 **CROSS-COMPLAINANTS ALIGOS THERAPEUTICS, INC., LAWRENCE M.  
7 BLATT, AND LEONID BEIGELMAN’S CROSS-COMPLAINT**

8  (BY ELECTRONIC SERVICE) By electronically mailing a true and correct copy through  
9 Durie Tangri’s electronic mail system from cortega@duriatangri.com to the email  
addresses set forth below.

10 On the following part(ies) in this action:

11 Charles K. Verhoeven  
12 Melissa Baily  
13 William Pilon  
14 QUINN EMANUEL URQUHART & SULLIVAN, LLP  
15 50 California Street, 22nd Floor  
16 San Francisco, CA 94111  
charlesverhoeven@quinnemanuel.com  
melissabaily@quinnemanuel.com  
williampilon@quinnemanuel.com  
JanssenAligos@quinnemanuel.com

17 *Attorneys for Plaintiff/Cross-Defendant*  
18 *JANSSEN BIOPHARMA, LLC.*

19 Joseph Milowic III  
20 QUINN EMANUEL URQUHART & SULLIVAN, LLP  
21 51 Madison Ave., 22nd Floor  
New York, NY 10010-1601  
josephmilowic@quinnemanuel.com

22 *Attorneys for Plaintiff/Cross-Defendant*  
23 *JANSSEN BIOPHARMA, LLC.*

24 I declare under penalty of perjury under the laws of the State of California that the foregoing is  
25 true and correct. Executed on August 4, 2022, at San Francisco, California.

26   
27 \_\_\_\_\_  
28 Christina Ortega

# **EXHIBIT 1**

<b>PATENT ASSIGNMENT COVER SHEET</b>
--------------------------------------

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT6217310

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
LEONID BEIGELMAN	02/20/2020
RAJENDRA PANDEY	02/21/2020
VIVEK KUMAR RAJWANSHI	02/21/2020
DAVID BERNARD SMITH	02/20/2020
LAWRENCE M. BLATT	02/20/2020
JIN HONG	02/20/2020
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ALIGOS THERAPEUTICS, INC.
<b>Street Address:</b>	1 CORPORATE DRIVE, 2ND FLOOR
<b>City:</b>	SOUTH SAN FRANCISCO
<b>State/Country:</b>	CALIFORNIA
<b>Postal Code:</b>	94080
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	16676929
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(949)760-9502
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Phone:</b>	9497600404
<b>Email:</b>	efiling@knobbe.com
<b>Correspondent Name:</b>	KNOBBE MARTENS OLSON & BEAR
<b>Address Line 1:</b>	2040 MAIN STREET, 14TH FLOOR
<b>Address Line 4:</b>	IRVINE, CALIFORNIA 92614
<b>ATTORNEY DOCKET NUMBER:</b>	ALIG.008A
<b>NAME OF SUBMITTER:</b>	JOSEPH J. MALLON
<b>SIGNATURE:</b>	/Joseph J. Mallon/
<b>DATE SIGNED:</b>	07/24/2020
<b>Total Attachments: 8</b>	

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**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008A

Page 1 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith, Lawrence M. Blatt, and Jin Hong

**Declaration**

This Declaration is directed to U.S. or International Application No. **16/676929**, filed November 7, 2019 and incorporating any amendments made thereto prior to the signature date of this Declaration.

As a named inventor, I declare that:

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 USC 1001 by fine or imprisonment of not more than five (5) years, or both.

I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

**Assignment from Inventors**

WHEREAS, **above-identified inventors** (individual(s) hereinafter "ASSIGNOR") invented certain new and useful improvements, technology, inventions, developments, ideas, ornamental designs, or discoveries related to **S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS** (collectively hereinafter referred to as the "Work") for which an application for Letters Patent in the United States (identified above) has been filed with the United States Patent and Trademark Office (hereinafter the "Application"), and ASSIGNOR desires to assign or confirm assignment of the Work and the Application to the below identified Assignee.

AND WHEREAS, **Aligos Therapeutics, Inc.**, with its principal place of business at **1 Corporate Drive, 2nd Floor, South San Francisco, California 94080** (hereinafter the "ASSIGNEE"), desires to acquire or confirm ownership of the entire right, title, and interest in and to the Application and the Work.

NOW, THEREFORE, for good and valuable consideration of which receipt is hereby acknowledged, ASSIGNOR hereby acknowledges that ASSIGNOR has sold, assigned, transferred, and set over, and by these presents does hereby sell, assign, transfer, and set over, unto said ASSIGNEE, its successors, legal representatives, and assigns, the entire right, title, and interest throughout the world in and to the Application and the Work, including: all provisional applications relating to the Work and the Application (including but not limited to U.S. Provisional Application Nos. **62/757632**, **62/855323**, and **62/907845**, filed **November 8, 2018**, **May 31, 2019**, and **September 20, 2019**, respectively, and International Patent Application **PCT/US2019/060283**, filed **November 7, 2019**); all nonprovisional applications claiming priority to aforementioned provisionals and/or the Application, including, all divisions, continuations, continuations-in-part, and reissues, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof; and all rights of priority under International Conventions and any related Letters Patent which may hereafter be granted or filed in any country or countries foreign to the United States, all extensions, renewals, and reissues thereof.

ASSIGNOR hereby authorizes and requests the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently.*

**Docket No.:** ALIG.008A

Page 2 of 8

**Title:** S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

**Inventors:** Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, and Jin Hong

applications as aforesaid, to issue all related Letters Patent to the ASSIGNEE, its successors, legal representatives, and assigns.

AND ASSIGNOR DOES HEREBY sell, assign, transfer, and convey to ASSIGNEE, its successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of said Letters Patent before or after issuance.

AND ASSIGNOR DOES HEREBY covenant and agree that ASSIGNOR will: communicate to said ASSIGNEE, its successors, legal representatives, and assigns any facts known to ASSIGNOR respecting the Work; testify in any legal proceeding; assist in the preparation of any other Patent Property relating to the Application and the Work or any improvements made thereto; sign/execute all lawful papers; authorize the filing of, execute, and make all rightful oaths and/or declarations in connection with the Application and the Work including any improvements made thereto, any patent applications filed therefrom, and any continuing application filed from any of the aforementioned applications; and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives, and assigns, to obtain and enforce proper patent protection for the Work in all countries.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008A

Page 3 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith, Lawrence M. Blatt, and Jin Hong

Legal Name of Inventor: Leonid Beigelman

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 20th day of February, 2020.

Signature: \_\_\_\_\_



*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

COUNTY OF San Mateo

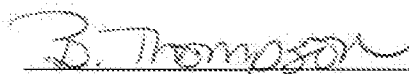
ss.

On 2-20-20, before me, B. Thompson, notary public, personally appeared Leonid Beigelman who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

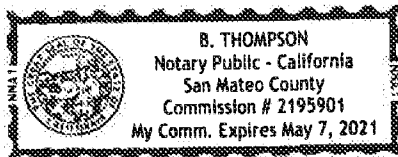
I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Notary Signature



[SEAL]





**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008A

Page 4 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith, Lawrence M. Blatt, and Jin Hong

Legal Name of Inventor: Rajendra Pandey

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 21 day of February 2020.

Signature: *R Pandey*  
*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

COUNTY OF San Mateo } ss.

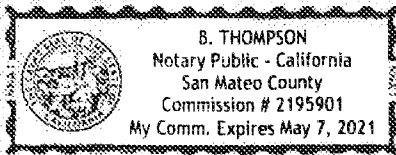
On 2/21/20, before me, B. Thompson, notary public, personally appeared Rajendra Pandey who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

*B. Thompson*  
Notary Signature

[SEAL]



**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008A

Page 5 of 8

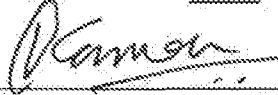
Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, and Jin Hong

Legal Name of Inventor: Vivek Kumar Rajwanshi

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 21st day of February,  
2020.

Signature: \_\_\_\_\_



*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

COUNTY OF San Mateo } ss.

On 2/21/20, before me, B. Thompson, notary public, personally  
appeared Vivek Kumar Rajwanshi who proved to me on the basis of satisfactory evidence to be the  
person whose name is subscribed to the within instrument, and acknowledged to me that he executed the  
same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon  
behalf of which the person acted, executed the instrument.

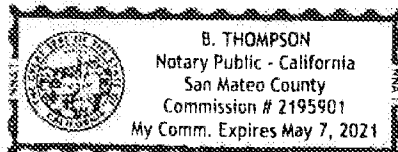
I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal:



Notary Signature

[SEAL]



**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008A

Page 6 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, and Jin Hong

Legal Name of Inventor: David Bernard Smith

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 30th day of February,  
2020.

Signature: \_\_\_\_\_

*David Bernard Smith*

*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

COUNTY OF San Mateo

ss.

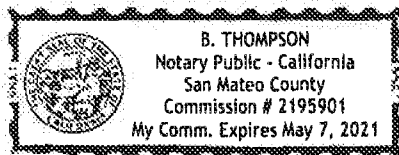
On 2/20/20, before me, B. Thompson, notary public, personally  
appeared David Bernard Smith who proved to me on the basis of satisfactory evidence to be the person  
whose name is subscribed to the within instrument, and acknowledged to me that he executed the same  
in his authorized capacity, and that by his signature on the instrument the person, or the entity upon  
behalf of which the person acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal.

B. Thompson  
Notary Signature

[SEAL]



**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG 008A

Page 7 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith, Lawrence M. Blatt, and Jin Hong

Legal Name of Inventor: Lawrence M. Blatt

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 20th day of February, 2020.

Signature: [Handwritten Signature]

*Signature before a Notary is desirable but not required.*

**A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.**

STATE OF CALIFORNIA

COUNTY OF San Mateo } ss.

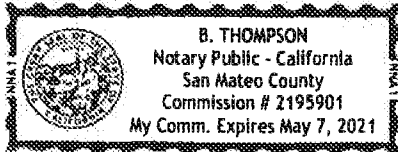
On 2/20/20, before me, B. Thompson, notary public, personally appeared Lawrence M. Blatt who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

[Handwritten Signature]  
Notary Signature

[SEAL]



**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008A

Page 8 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith, Lawrence M. Blatt, and Jin Hong

Legal Name of Inventor: Jin Hong

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 20th day of February, 2020.

Signature: [Handwritten Signature]

*Signature before a Notary is desirable but not required.*

**A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.**

STATE OF CALIFORNIA

COUNTY OF San Mateo } ss.

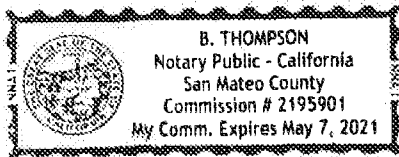
On 2/20/20 before me, B. Thompson, notary public, personally appeared Jin Hong who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

[Handwritten Signature]  
Notary Signature

[SEAL]



31665524

# **EXHIBIT 2**

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT6217538

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
SANDRINE VENDEVILLE	07/23/2020
DAVID BERNARD SMITH	07/14/2020
LEONID BEIGELMAN	07/14/2020
VLADIMIR SEREBRYANY	07/09/2020
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ALIGOS THERAPEUTICS, INC.
<b>Street Address:</b>	1 CORPORATE DRIVE, 2ND FLOOR
<b>City:</b>	SOUTH SAN FRANCISCO
<b>State/Country:</b>	CALIFORNIA
<b>Postal Code:</b>	94080
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	16837515
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(949)760-9502
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Phone:</b>	9497600404
<b>Email:</b>	efiling@knobbe.com
<b>Correspondent Name:</b>	KNOBBE MARTENS OLSON & BEAR
<b>Address Line 1:</b>	2040 MAIN STREET, 14TH FLOOR
<b>Address Line 4:</b>	IRVINE, CALIFORNIA 92614
<b>ATTORNEY DOCKET NUMBER:</b>	ALIG.024A
<b>NAME OF SUBMITTER:</b>	KIMBERLY J. MILLER
<b>SIGNATURE:</b>	/Kimberly J. Miller/
<b>DATE SIGNED:</b>	07/24/2020
<b>Total Attachments: 6</b>	
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**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.024A

Page 1 of 6

Title: PYRROLE COMPOUNDS

Inventors: Sandrine Vendeville, David Bernard Smith, Leonid Beigelman, Vladimir Serebryany

***Declaration***

This Declaration is directed to U.S. or International Application No. **18/837515**, filed April 1, 2020 and incorporating any amendments made thereto prior to the signature date of this Declaration.

As a named inventor, I declare that:

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 USC 1001 by fine or imprisonment of not more than five (5) years, or both.

I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

***Assignment from Inventors***

WHEREAS, **above-identified inventors** (individual(s) hereinafter "ASSIGNOR") invented certain new and useful improvements, technology, inventions, developments, ideas, ornamental designs, or discoveries related to **PYRROLE COMPOUNDS** (collectively hereinafter referred to as the "Work") for which an application for Letters Patent in the United States (identified above) has been filed or prepared for filing with the United States Patent and Trademark Office (hereinafter the "Application"), and ASSIGNOR desires to assign or confirm assignment of the Work and the Application to the below identified Assignee.

WHEREAS, the other three named inventors, **Raymond F. Schinazi**, residing at Tucker, Georgia, **Franck Amblard**, residing at Tucker, Georgia, and **Leda Bassit**, residing at Smyrna, Georgia, are assigning their rights to **Emory University**, at 1599 Clifton Road NE, 4<sup>th</sup> Floor, Mailstop 1599/001/1AZ, Atlanta, GA, 30322;

AND WHEREAS, **Aligos Therapeutics, Inc.**, a Delaware Corporation, having an address at 1 Corporate Drive, 2nd Floor, South San Francisco, CA 94080 (hereinafter the "ASSIGNEE"), desires to acquire or confirm ownership of the entire right, title, and interest in and to the Application and the Work.

NOW, THEREFORE, for good and valuable consideration of which receipt is hereby acknowledged, ASSIGNOR hereby acknowledges that ASSIGNOR has sold, assigned, transferred, and set over, and by these presents does hereby sell, assign, transfer, and set over, unto said ASSIGNEE, its successors, legal representatives, and assigns, the entire right, title, and interest throughout the world in and to the Application and the Work, including: all provisional applications relating to the Work and the Application (including but not limited to U.S. Provisional Application No(s). **62/828919**, filed **April 3, 2019**; and **62/932686**, filed **November 8, 2019** (respectively if plural applications)); all nonprovisional applications claiming priority to aforementioned provisional(s) and/or the Application, including, all divisions, continuations, continuations-in-part, and reissues, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof; and all rights of priority under International Conventions and any related Letters Patent which may hereafter be granted or filed in any country or countries foreign to the United States, all extensions, renewals, and reissues thereof.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

**Docket No.:** ALIG.024A

Page 2 of 6

**Title:** PYRROLE COMPOUNDS

**Inventors:** Sandrine Vendeville, David Bernard Smith, Leonid Beigelman, Vladimir Serebryany

ASSIGNOR hereby authorizes and requests the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all related Letters Patent to the ASSIGNEE, its successors, legal representatives, and assigns.

AND ASSIGNOR DOES HEREBY sell, assign, transfer, and convey to ASSIGNEE, its successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of said Letters Patent before or after issuance.

AND ASSIGNOR DOES HEREBY covenant and agree that ASSIGNOR will: communicate to said ASSIGNEE, its successors, legal representatives, and assigns any facts known to ASSIGNOR respecting the Work; testify in any legal proceeding; assist in the preparation of any other Patent Property relating to the Application and the Work or any improvements made thereto; sign/execute all lawful papers; authorize the filing of, execute, and make all rightful oaths and/or declarations in connection with the Application and the Work including any improvements made thereto, any patent applications filed therefrom, and any continuing application filed from any of the aforementioned applications; and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives, and assigns, to obtain and enforce proper patent protection for the Work in all countries.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*


Docket No.: ALIG.024A

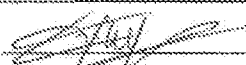
Page 3 of 6

Title: PYRROLE COMPOUNDS

Inventors: Sandrine Verdeville, David Bernard Smith, Leonid Beigelman, Vladimir Serebriany

Legal Name of Inventor: Sandrine Verdeville

Signature:  Date: 23 July 2020

Witnessed by: 

Witness Name (printed): LIEVE THIJS

ALIGOS BELGIUM  
Bio-Incubator 3  
Gaston Geenslaan 1  
3001 Leuven  
BE 0702 969 886

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.024A

Page 4 of 6

Title: PYRROLE COMPOUNDS

Inventors: Sandrine Vendeville, David Bernard Smith, Leonid Beigelman, Vladimir Serebryany

Legal Name of Inventor: David Bernard Smith

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 14<sup>th</sup> day of July 2020.

Signature: *David Bernard Smith*

*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

ss.

COUNTY OF \_\_\_\_\_

On \_\_\_\_\_, before me, \_\_\_\_\_, notary public, personally appeared David Bernard Smith who proved 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature

{SEAL}

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.024A

Page 5 of 6

Title: PYRROLE COMPOUNDS

Inventors: Sandrine Vendeville, David Bernard Smith, Leonid Beigelman, Vladimir Serebryany

Legal Name of Inventor: Leonid Beigelman

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 14<sup>th</sup> day of July 20 20.

Signature: 

*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

COUNTY OF \_\_\_\_\_

} ss.

On \_\_\_\_\_, before me, \_\_\_\_\_, notary public, personally appeared Leonid Beigelman who proved 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature

[SEAL]

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.024A

Page 6 of 6

Title: PYRROLE COMPOUNDS

Inventors: Sandrine Vendeville, David Bernard Smith, Leonid Beigelman, Vladimir Serebryany

Legal Name of Inventor: Vladimir Serebryany

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this  
20 20

9<sup>th</sup> day of July

Signature: \_\_\_\_\_

*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

ss.

COUNTY OF \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_ notary public, personally  
appeared Vladimir Serebryany who proved 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature

[SEAL]

32642061

# **EXHIBIT 3**

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT6244879

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
SANDRINE VENDEVILLE	07/23/2020
PIERRE JEAN-MARIE BERNARD RABOISSON	07/18/2020
YANNICK DEBING	07/16/2020
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ALIGOS THERAPEUTICS, INC.
<b>Street Address:</b>	1 CORPORATE DRIVE, 2ND FLOOR
<b>City:</b>	SOUTH SAN FRANCISCO
<b>State/Country:</b>	CALIFORNIA
<b>Postal Code:</b>	94080
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	16849851
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(949)760-9502
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Phone:</b>	9497600404
<b>Email:</b>	efiling@knobbe.com
<b>Correspondent Name:</b>	KNOBBE MARTENS OLSON & BEAR
<b>Address Line 1:</b>	2040 MAIN STREET, 14TH FLOOR
<b>Address Line 4:</b>	IRVINE, CALIFORNIA 92614
<b>ATTORNEY DOCKET NUMBER:</b>	ALIG.025A
<b>NAME OF SUBMITTER:</b>	KIMBERLY J. MILLER
<b>SIGNATURE:</b>	/Kimberly J. Miller/
<b>DATE SIGNED:</b>	08/11/2020
This document serves as an Oath/Declaration (37 CFR 1.63).	
<b>Total Attachments: 5</b>	
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**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.025A

Page 1 of 5

Title: BICYCLIC AND TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville, Pierre Jean-Marie Bernard Raboisson, Yannick Debing

***Declaration***

This Declaration is directed to U.S. or International Application No. **16/849,851**, filed April 15, 2020 and incorporating any amendments made thereto prior to the signature date of this Declaration.

As a named inventor, I declare that:

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 USC 1001 by fine or imprisonment of not more than five (5) years, or both.

I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

***Assignment from Inventors***

WHEREAS, above-identified inventors (individual(s) hereinafter "ASSIGNOR") invented certain new and useful improvements, technology, inventions, developments, ideas, ornamental designs, or discoveries related to **BICYCLIC AND TRICYCLIC COMPOUNDS** (collectively hereinafter referred to as the "Work") for which an application for Letters Patent in the United States (identified above) has been filed or prepared for filing with the United States Patent and Trademark Office (hereinafter the "Application"), and ASSIGNOR desires to assign or confirm assignment of the Work and the Application to the below identified Assignee.

AND WHEREAS, **Aligos Therapeutics, Inc.**, with its principal place of business at 1 Corporate Drive, 2nd Floor, South San Francisco, CA 94080 (hereinafter the "ASSIGNEE"), desires to acquire or confirm ownership of the entire right, title, and interest in and to the Application and the Work.

NOW, THEREFORE, for good and valuable consideration of which receipt is hereby acknowledged, ASSIGNOR hereby acknowledges that ASSIGNOR has sold, assigned, transferred, and set over, and by these presents does hereby sell, assign, transfer, and set over, unto said ASSIGNEE, its successors, legal representatives, and assigns, the entire right, title, and interest throughout the world in and to the Application and the Work, including: all provisional applications relating to the Work and the Application (including but not limited to U.S. Provisional Application No(s). 62/835301, filed April 17, 2019 (respectively if plural applications)); all nonprovisional applications claiming priority to aforementioned provisional(s) and/or the Application, including, all divisions, continuations, continuations-in-part, and reissues, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof; and all rights of priority under International Conventions and any related Letters Patent which may hereafter be granted or filed in any country or countries foreign to the United States, all extensions, renewals, and reissues thereof.

ASSIGNOR hereby authorizes and requests the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all related Letters Patent to the ASSIGNEE, its successors, legal representatives, and assigns.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.025A

Page 2 of 5

Title: BICYCLIC AND TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville, Pierre Jean-Marie Bernard Raboisson, Yannick Debing

AND ASSIGNOR DOES HEREBY sell, assign, transfer, and convey to ASSIGNEE, its successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of said Letters Patent before or after issuance.

AND ASSIGNOR DOES HEREBY covenant and agree that ASSIGNOR will: communicate to said ASSIGNEE, its successors, legal representatives, and assigns any facts known to ASSIGNOR respecting the Work; testify in any legal proceeding; assist in the preparation of any other Patent Property relating to the Application and the Work or any improvements made thereto; sign/execute all lawful papers; authorize the filing of, execute, and make all rightful oaths and/or declarations in connection with the Application and the Work including any improvements made thereto, any patent applications filed therefrom, and any continuing application filed from any of the aforementioned applications; and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives, and assigns, to obtain and enforce proper patent protection for the Work in all countries.

COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))

Application Data Sheet filed previously or concurrently

Docket No.: ALIG.025A

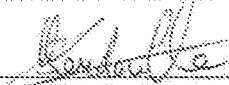
Page 3 of 5

Title: BICYCLIC AND TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville, Pierre Jean-Marie Bernard Raboisson, Yannick Debing

Legal Name of Inventor: Sandrine Vendeville

Signature: \_\_\_\_\_



Date: \_\_\_\_\_

23 July 2020

Witnessed by: \_\_\_\_\_



Witness Name (printed): \_\_\_\_\_

LIEVE THIJS

ALIGOS BELGIUM  
Bio-Incubator 3  
Gaston Geenslaan 1  
3001 Leuven  
BE 0782 969 886

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.025A

Page 4 of 5

Title: BICYCLIC AND TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville, Pierre Jean-Marie Bernard Raboisson, Yannick Debing

Legal Name of Inventor: Pierre Jean-Marie Bernard Raboisson

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Witnessed by: \_\_\_\_\_

Witness Name (printed): \_\_\_\_\_

12<sup>th</sup> July 2020

Cécile Jacquemont

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

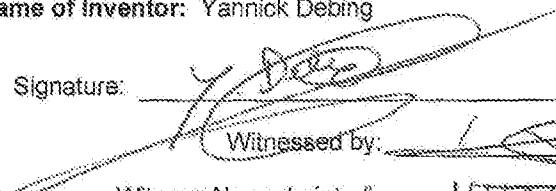
Docket No.: ALIG.025A

Page 5 of 5

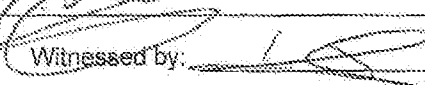
Title: BICYCLIC AND TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville, Pierre Jean-Marie Bernard Raboisson, Yannick Debing

Legal Name of Inventor: Yannick Debing

Signature: 

Date: 16 Jul 2020

Witnessed by: 

Witness Name (printed): HILDE BOTTIN

32647629

# **EXHIBIT 4**

<b>PATENT ASSIGNMENT COVER SHEET</b>
--------------------------------------

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT6260479

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
SANDRINE VENDEVILLE	08/18/2020
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ALIGOS THERAPEUTICS, INC.
<b>Street Address:</b>	1 CORPORATE DRIVE, 2ND FLOOR
<b>City:</b>	SOUTH SAN FRANCISCO
<b>State/Country:</b>	CALIFORNIA
<b>Postal Code:</b>	94080
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	16885128
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(949)760-9502
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Phone:</b>	9497600404
<b>Email:</b>	efiling@knobbe.com
<b>Correspondent Name:</b>	KNOBBE MARTENS OLSON & BEAR
<b>Address Line 1:</b>	2040 MAIN STREET, 14TH FLOOR
<b>Address Line 4:</b>	IRVINE, CALIFORNIA 92614
<b>ATTORNEY DOCKET NUMBER:</b>	ALIG.026A
<b>NAME OF SUBMITTER:</b>	KIMBERLY J. MILLER
<b>SIGNATURE:</b>	/Kimberly J. Miller/
<b>DATE SIGNED:</b>	08/20/2020
This document serves as an Oath/Declaration (37 CFR 1.63).	
<b>Total Attachments: 3</b>	
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**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.026A

Page 1 of 3

Title: TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville

***Declaration***

This Declaration is directed to U.S. or International Application No. **16/885128**, filed May 27, 2020 and incorporating any amendments made thereto prior to the signature date of this Declaration.

As a named inventor, I declare that:

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 USC 1001 by fine or imprisonment of not more than five (5) years, or both.

I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

***Assignment from Inventors***

WHEREAS, **above-identified inventors** (individual(s) hereinafter "ASSIGNOR") invented certain new and useful improvements, technology, inventions, developments, ideas, ornamental designs, or discoveries related to **TRICYCLIC COMPOUNDS** (collectively hereinafter referred to as the "Work") for which an application for Letters Patent in the United States (identified above) has been filed or prepared for filing with the United States Patent and Trademark Office (hereinafter the "Application"), and ASSIGNOR desires to assign or confirm assignment of the Work and the Application to the below identified Assignee.

AND WHEREAS, **Aligos Therapeutics, Inc.**, with its principal place of business at **1 Corporate Drive, 2nd Floor, South San Francisco, CA 94080** (hereinafter the "ASSIGNEE"), desires to acquire or confirm ownership of the entire right, title, and interest in and to the Application and the Work.

NOW, THEREFORE, for good and valuable consideration of which receipt is hereby acknowledged, ASSIGNOR hereby acknowledges that ASSIGNOR has sold, assigned, transferred, and set over, and by these presents does hereby sell, assign, transfer, and set over, unto said ASSIGNEE, its successors, legal representatives, and assigns, the entire right, title, and interest throughout the world in and to the Application and the Work, including: all provisional applications relating to the Work and the Application (including but not limited to U.S. Provisional Application No(s). **62/854597**, filed **May 30, 2019** (respectively if plural applications)); all nonprovisional applications claiming priority to aforementioned provisional(s) and/or the Application, including, all divisions, continuations, continuations-in-part, and reissues, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof; and all rights of priority under International Conventions and any related Letters Patent which may hereafter be granted or filed in any country or countries foreign to the United States, all extensions, renewals, and reissues thereof.

ASSIGNOR hereby authorizes and requests the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all related Letters Patent to the ASSIGNEE, its successors, legal representatives, and assigns.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

**Docket No.:** ALIG.026A

Page 2 of 3

**Title:** TRICYCLIC COMPOUNDS

**Inventors:** Sandrine Vendeville

AND ASSIGNOR DOES HEREBY sell, assign, transfer, and convey to ASSIGNEE, its successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of said Letters Patent before or after issuance.

AND ASSIGNOR DOES HEREBY covenant and agree that ASSIGNOR will: communicate to said ASSIGNEE, its successors, legal representatives, and assigns any facts known to ASSIGNOR respecting the Work; testify in any legal proceeding; assist in the preparation of any other Patent Property relating to the Application and the Work or any improvements made thereto; sign/execute all lawful papers; authorize the filing of, execute, and make all rightful oaths and/or declarations in connection with the Application and the Work including any improvements made thereto, any patent applications filed therefrom, and any continuing application filed from any of the aforementioned applications; and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives, and assigns, to obtain and enforce proper patent protection for the Work in all countries.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.026A

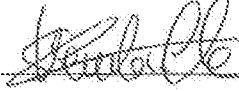
Page 3 of 3

Title: TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville

Legal Name of Inventor: Sandrine Vendeville

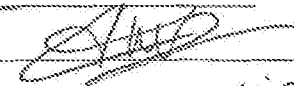
Signature: \_\_\_\_\_



Date: \_\_\_\_\_

18 August 2020

Witnessed by: \_\_\_\_\_



Witness Name (printed): \_\_\_\_\_

LIEVE THIJS

32967652

# **EXHIBIT 5**

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT6251323

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
LEONID BIEGELMAN	08/12/2020
RAJENDRA K. PANDEY	08/10/2020
VIVEK KUMAR RAJWANSHI	08/10/2020
DAVID BERNARD SMITH	08/10/2020
JIN HONG	08/10/2020
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ALIGOS THERAPEUTICS, INC.
<b>Street Address:</b>	1 CORPORATE DRIVE, 2ND FLOOR
<b>City:</b>	SOUTH SAN FRANCISCO
<b>State/Country:</b>	CALIFORNIA
<b>Postal Code:</b>	94080
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	16887063
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(202)672-5399
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Phone:</b>	(202) 672-5300
<b>Email:</b>	kstrawderman@foley.com, ipdocketing@foley.com
<b>Correspondent Name:</b>	KRISTEL SCHORR
<b>Address Line 1:</b>	FOLEY & LARDNER LLP
<b>Address Line 2:</b>	3000 K STREET N.W., SUITE 600
<b>Address Line 4:</b>	WASHINGTON, D.C. 20007-5109
<b>ATTORNEY DOCKET NUMBER:</b>	122400-0132
<b>NAME OF SUBMITTER:</b>	KRISTEL SCHORR
<b>SIGNATURE:</b>	/Kristel Schorr/
<b>DATE SIGNED:</b>	08/14/2020
<b>Total Attachments: 7</b>	

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## ASSIGNMENT - WORLDWIDE

For good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, each undersigned inventor (hereinafter referred to singly and collectively as "ASSIGNOR") has sold, assigned, and transferred, and by these presents hereby sells, assigns, and transfers, unto

Aligos Therapeutics, Inc.  
1 Corporate Drive, 2nd Floor  
South San Francisco, California 94080

(hereinafter referred to as "ASSIGNEE") its successors and assigns, the full and exclusive right, title and interest for the United States, its territories and possessions, and all foreign countries in and to this invention relating to

### MODIFIED GAPMER OLIGONUCLEOTIDES AND METHODS OF USE

as set forth in:

U.S. Application No. 16/887,063 Filed 5/29/2020  
 International Application No. PCT/US2020/035212 Filed 5/29/2020

as well as in and to (a) all improvements and modifications of the above-identified invention or inventions, (b) the above-identified application and all other applications for Letters Patent of the United States and countries foreign thereto for above-identified invention or inventions and all improvements and modifications thereof, (c) all Letters Patent which may issue from said applications in the United States and countries foreign thereto, (d) all divisions, continuations, reissues, and extensions of said applications and Letters Patent, and (e) the right to claim for any of said applications the full benefits and priority rights under the Patent Cooperation Treaty, the Paris Convention and any other international agreement; such right, title, and interest to be held and enjoyed by ASSIGNEE, its successors and assigns, to the full end of the term or terms for which any and all such Letters Patent may be granted as fully and entirely as would have been held and enjoyed by ASSIGNOR had this Assignment not been made.

ASSIGNOR HEREBY AUTHORIZES ASSIGNEE to file patent applications in any or all countries on the above-identified invention or inventions in the name of the undersigned or in the name of ASSIGNEE or otherwise as ASSIGNEE may deem advisable under the International Convention or otherwise.

ASSIGNOR HEREBY AUTHORIZES AND REQUESTS the Commissioner of Patents and Trademarks to issue said Letters Patent to ASSIGNEE as assignee of the entire interest, for the sole use and benefit of ASSIGNEE, its successors and assigns.

ASSIGNOR HEREBY AGREES (a) to communicate to ASSIGNEE, its successors and assigns, or their representative or agents, all facts and information known or available to ASSIGNOR respecting said invention or inventions, improvements, and modifications including evidence for interference, reexamination, reissue, opposition, revocation, extension, or infringement purposes or other legal, judicial, or administrative proceedings, whenever requested by ASSIGNEE; (b) to testify in person or by affidavit as required by ASSIGNEE, its successors and assigns, in any such proceeding in the United States or a country foreign thereto; (c) to execute and deliver, upon request by ASSIGNEE, all lawful papers including, but not limited to, original, divisional, continuation, and reissue applications, renewals, assignments, powers of attorney, oaths, affidavits, and declarations, depositions; and (d) to provide all reasonable assistance to ASSIGNEE, its successors and assigns, in obtaining and enforcing proper title in and protection for said invention or inventions, improvements, and modifications under the intellectual property laws of the United States and countries foreign thereto.

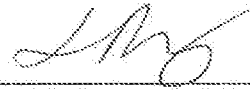
ASSIGNOR HEREBY REPRESENTS AND WARRANTS that ASSIGNOR has the full and unencumbered right to sell, assign, and transfer the interests sold, assigned, and transferred herein, and that ASSIGNOR has not executed and will not execute any document or instrument in conflict herewith.

ASSIGNOR HEREBY GRANTS to the law firm of **Foley & Lardner LLP** the power and authority to insert in this Assignment any further identification which may be necessary or desirable to comply with the rules of the U.S. Patent and Trademark Office for recordation of this Assignment.

ASSIGNOR UNDERSTANDS AND AGREES that the attorneys and agents of the law firm of **Foley & Lardner LLP** do not personally represent ASSIGNOR OR ASSIGNOR's legal interests, but instead represent the interests of ASSIGNEE; since said attorneys and agents cannot provide legal advice to ASSIGNOR with respect to this Assignment, ASSIGNOR acknowledges its right to seek its own independent legal counsel.



Executed this 12<sup>th</sup> day of August, 2020



LEONID BEIGELMAN

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document, to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ )

On \_\_\_\_\_, before me, \_\_\_\_\_  
*Date Here insert Name and Title of the Officer (Notary Public)*

personally appeared LEONID BEIGELMAN  
Name(s) of Signer(s)

who proved 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/their 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature \_\_\_\_\_  
Signature of Notary Public

Place Notary Seal Above

Executed this 10 day of August 20

*R. Pandey*  
RAJENDRA K. PANDEY

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document, to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ )

On \_\_\_\_\_, before me, \_\_\_\_\_  
*Date Here insert Name and Title of the Officer (Notary Public)*

personally appeared RAJENDRA K. PANDEY  
Name(s) of Signer(s)

who proved 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/their 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.

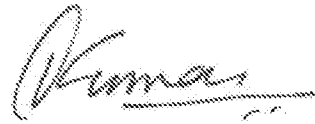
I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature \_\_\_\_\_  
Signature of Notary Public

Place Notary Seal Above

Executed this 10 day of August, 2020



VIVEK KUMAR RAJWANSHI

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document, to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ )

On \_\_\_\_\_, before me, \_\_\_\_\_  
*Date Here insert Name and Title of the Officer (Notary Public)*

personally appeared VIVEK KUMAR RAJWANSHI  
Name(s) of Signer(s)

who proved 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/their 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature \_\_\_\_\_  
Signature of Notary Public

Place Notary Seal Above

Executed this 10<sup>th</sup> day of August, 2020.

  
\_\_\_\_\_  
DAVID BERNARD SMITH

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document, to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ )

On \_\_\_\_\_, before me, \_\_\_\_\_  
*Date Here Insert Name and Title of the Officer (Notary Public)*

personally appeared DAVID BERNARD SMITH  
Name(s) of Signer(s)

who proved 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/their 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.

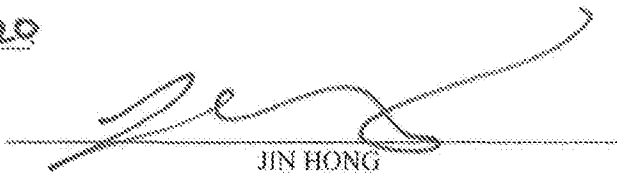
I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature \_\_\_\_\_  
Signature of Notary Public

Place Notary Seal Above

Executed this 10th day of August, 2020

  
JIN HONG

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document, to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document.

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ )

On \_\_\_\_\_, before me, \_\_\_\_\_  
*Date* *Here insert Name and Title of the Officer (Notary Public)*

personally appeared JIN HONG  
Name(s) of Signer(s)

who proved 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/their 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature \_\_\_\_\_  
Signature of Notary Public

Place Notary Seal Above

# **EXHIBIT 6**

<b>PATENT ASSIGNMENT COVER SHEET</b>
--------------------------------------

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT6318645

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
LEONID BEIGELMAN	09/23/2020
RAJENDRA PANDEY	09/23/2020
VIVEK KUMAR RAJWANSHI	09/23/2020
DAVID BERNARD SMITH	09/23/2020
LAWRENCE M. BLATT	09/25/2020
JIN HONG	09/24/2020
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ALIGOS THERAPEUTICS, INC.
<b>Street Address:</b>	1 CORPORATE DRIVE, 2ND FLOOR
<b>City:</b>	SOUTH SAN FRANCISCO
<b>State/Country:</b>	CALIFORNIA
<b>Postal Code:</b>	94080
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	17018822
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(949)760-9502
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Phone:</b>	9497600404
<b>Email:</b>	efiling@knobbe.com
<b>Correspondent Name:</b>	KNOBBE MARTENS OLSON & BEAR
<b>Address Line 1:</b>	2040 MAIN STREET, 14TH FLOOR
<b>Address Line 4:</b>	IRVINE, CALIFORNIA 92614
<b>ATTORNEY DOCKET NUMBER:</b>	ALIG.008P1
<b>NAME OF SUBMITTER:</b>	KIMBERLY J. MILLER
<b>SIGNATURE:</b>	/Kimberly J. Miller/
<b>DATE SIGNED:</b>	09/25/2020
<b>Total Attachments: 8</b>	

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**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008P1

Page 1 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, Jin Hong

***Declaration***

This Declaration is directed to U.S. or International Application No. **17/018822**, filed September 11, 2020 and incorporating any amendments made thereto prior to the signature date of this Declaration.

As a named inventor, I declare that:

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 USC 1001 by fine or imprisonment of not more than five (5) years, or both.

I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

***Assignment from Inventors***

WHEREAS, **above-identified inventors** (individual(s) hereinafter "ASSIGNOR") invented certain new and useful improvements, technology, inventions, developments, ideas, ornamental designs, or discoveries related to **S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS** (collectively hereinafter referred to as the "Work") for which an application for Letters Patent in the United States (identified above) has been filed or prepared for filing with the United States Patent and Trademark Office (hereinafter the "Application"), and ASSIGNOR desires to assign or confirm assignment of the Work and the Application to the below identified Assignee.

AND WHEREAS, **Aligos Therapeutics, Inc.**, with its principal place of business at 1 Corporate Drive, 2nd Floor, South San Francisco, CA 94080 (hereinafter the "ASSIGNEE"), desires to acquire or confirm ownership of the entire right, title, and interest in and to the Application and the Work.

NOW, THEREFORE, for good and valuable consideration of which receipt is hereby acknowledged, ASSIGNOR hereby acknowledges that ASSIGNOR has sold, assigned, transferred, and set over, and by these presents does hereby sell, assign, transfer, and set over, unto said ASSIGNEE, **its** successors, legal representatives, and assigns, the entire right, title, and interest throughout the world in and to the Application and the Work, including: all provisional applications relating to the Work and the Application (including but not limited to U.S. Provisional Application Nos. **62/907845 filed September 30, 2019, 62/855323 filed May 31, 2019, and 62/757632 filed November 8, 2018**); all nonprovisional applications claiming priority to aforementioned provisionals and/or the Application, including, all divisions, continuations, continuations-in-part, and reissues, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof; and all rights of priority under International Conventions and any related Letters Patent which may hereafter be granted or filed in any country or countries foreign to the United States, all extensions, renewals, and reissues thereof.

ASSIGNOR hereby authorizes and requests the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all related Letters Patent to the ASSIGNEE, **its** successors, legal representatives, and assigns.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008P1

Page 2 of 8

**Title:** S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

**Inventors:** Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, Jin Hong

AND ASSIGNOR DOES HEREBY sell, assign, transfer, and convey to ASSIGNEE, **its** successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of said Letters Patent before or after issuance.

AND ASSIGNOR DOES HEREBY covenant and agree that ASSIGNOR will: communicate to said ASSIGNEE, **its** successors, legal representatives, and assigns any facts known to ASSIGNOR respecting the Work; testify in any legal proceeding; assist in the preparation of any other Patent Property relating to the Application and the Work or any improvements made thereto; sign/execute all lawful papers; authorize the filing of, execute, and make all rightful oaths and/or declarations in connection with the Application and the Work including any improvements made thereto, any patent applications filed therefrom, and any continuing application filed from any of the aforementioned applications; and generally do everything possible to aid the ASSIGNEE, **its** successors, legal representatives, and assigns, to obtain and enforce proper patent protection for the Work in all countries.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008P1

Page 3 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, Jin Hong

Legal Name of Inventor: Leonid Beigelman

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 23 day of September,  
2020

Signature: \_\_\_\_\_

*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

COUNTY OF \_\_\_\_\_

} ss.

On \_\_\_\_\_, before me, \_\_\_\_\_, notary public, personally  
appeared Leonid Beigelman who proved 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature

[SEAL]

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008P1

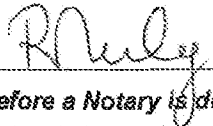
Page 4 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, Jin Hong

Legal Name of Inventor: Rajendra Pandey

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 23<sup>rd</sup> day of September  
2020

Signature:   
*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA }  
COUNTY OF \_\_\_\_\_ } ss.

On \_\_\_\_\_, before me, \_\_\_\_\_, notary public, personally  
appeared Rajendra Pandey who proved 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature

[SEAL]

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008P1

Page 5 of 8

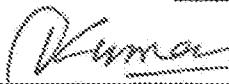
Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, Jin Hong

Legal Name of Inventor: Vivek Kumar Rajwanshi

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 23<sup>rd</sup> day of September  
2020.

Signature: \_\_\_\_\_



*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

} ss.

COUNTY OF \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_, notary public, personally  
appeared Vivek Kumar Rajwanshi who proved 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature

[SEAL]

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008P1

Page 6 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, Jin Hong

Legal Name of inventor: David Bernard Smith

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 23 day of September,  
2020

Signature: *David Bernard Smith*

*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

ss.

COUNTY OF \_\_\_\_\_

On \_\_\_\_\_, before me, \_\_\_\_\_, notary public, personally  
appeared David Bernard Smith who proved 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature

[SEAL]

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008P1

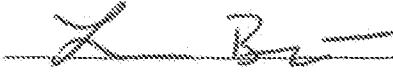
Page 7 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, Jin Hong

Legal Name of Inventor: Lawrence M. Blatt

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 25<sup>th</sup> day of September,  
2020

Signature: 

*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

COUNTY OF \_\_\_\_\_

} ss.

On \_\_\_\_\_, before me, \_\_\_\_\_, notary public, personally  
appeared Lawrence M. Blatt who proved 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature

[SEAL]

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.008P1

Page 8 of 8

Title: S-ANTIGEN TRANSPORT INHIBITING OLIGONUCLEOTIDE POLYMERS AND METHODS

Inventors: Leonid Beigelman, Rajendra Pandey, Vivek Kumar Rajwanshi, David Bernard Smith,  
Lawrence M. Blatt, Jin Hong

Legal Name of Inventor: Jin Hong

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 24<sup>th</sup> day of September  
2020

Signature: \_\_\_\_\_

*Signature before a Notary is desirable but not required.*

A NOTARY PUBLIC OR OTHER OFFICER COMPLETING THIS CERTIFICATE  
VERIFIES ONLY THE IDENTITY OF THE INDIVIDUAL WHO SIGNED THE  
DOCUMENT TO WHICH THIS CERTIFICATE IS ATTACHED, AND NOT THE  
TRUTHFULNESS, ACCURACY, OR VALIDITY OF THAT DOCUMENT.

STATE OF CALIFORNIA

COUNTY OF \_\_\_\_\_

} ss.

On \_\_\_\_\_, before me, \_\_\_\_\_, notary public, personally  
appeared Jin Hong who proved 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing  
paragraph is true and correct.

WITNESS my hand and official seal.

\_\_\_\_\_  
Notary Signature

[SEAL]

33538684



# **EXHIBIT 7**

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT7203265

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
SANDRINE VENDEVILLE	08/18/2020
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ALIGOS THERAPEUTICS, INC.
<b>Street Address:</b>	1 CORPORATE DRIVE, 2ND FLOOR
<b>City:</b>	SOUTH SAN FRANCISCO
<b>State/Country:</b>	CALIFORNIA
<b>Postal Code:</b>	94080
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	17446651
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(949)760-9502
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Phone:</b>	19497600404
<b>Email:</b>	efiling@knobbe.com
<b>Correspondent Name:</b>	KNOBBE MARTENS OLSON & BEAR
<b>Address Line 1:</b>	2040 MAIN STREET, 14TH FLOOR
<b>Address Line 4:</b>	IRVINE, CALIFORNIA 92614
<b>ATTORNEY DOCKET NUMBER:</b>	ALIG.026C1
<b>NAME OF SUBMITTER:</b>	KIMBERLY J. MILLER
<b>SIGNATURE:</b>	/Kimberly J. Miller/
<b>DATE SIGNED:</b>	03/02/2022
<b>Total Attachments: 3</b>	
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**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.026A

Page 1 of 3

Title: TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville

***Declaration***

This Declaration is directed to U.S. or International Application No. **16/885128**, filed May 27, 2020 and incorporating any amendments made thereto prior to the signature date of this Declaration.

As a named inventor, I declare that:

The above-identified application was made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 USC 1001 by fine or imprisonment of not more than five (5) years, or both.

I have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

***Assignment from Inventors***

WHEREAS, **above-identified inventors** (individual(s) hereinafter "ASSIGNOR") invented certain new and useful improvements, technology, inventions, developments, ideas, ornamental designs, or discoveries related to **TRICYCLIC COMPOUNDS** (collectively hereinafter referred to as the "Work") for which an application for Letters Patent in the United States (identified above) has been filed or prepared for filing with the United States Patent and Trademark Office (hereinafter the "Application"), and ASSIGNOR desires to assign or confirm assignment of the Work and the Application to the below identified Assignee.

AND WHEREAS, **Aligos Therapeutics, Inc.**, with its principal place of business at **1 Corporate Drive, 2nd Floor, South San Francisco, CA 94080** (hereinafter the "ASSIGNEE"), desires to acquire or confirm ownership of the entire right, title, and interest in and to the Application and the Work.

NOW, THEREFORE, for good and valuable consideration of which receipt is hereby acknowledged, ASSIGNOR hereby acknowledges that ASSIGNOR has sold, assigned, transferred, and set over, and by these presents does hereby sell, assign, transfer, and set over, unto said ASSIGNEE, its successors, legal representatives, and assigns, the entire right, title, and interest throughout the world in and to the Application and the Work, including: all provisional applications relating to the Work and the Application (including but not limited to U.S. Provisional Application No(s). **62/854597**, filed **May 30, 2019** (respectively if plural applications)); all nonprovisional applications claiming priority to aforementioned provisional(s) and/or the Application, including, all divisions, continuations, continuations-in-part, and reissues, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof; and all rights of priority under International Conventions and any related Letters Patent which may hereafter be granted or filed in any country or countries foreign to the United States, all extensions, renewals, and reissues thereof.

ASSIGNOR hereby authorizes and requests the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all related Letters Patent to the ASSIGNEE, its successors, legal representatives, and assigns.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.026A

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Title: TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville

AND ASSIGNOR DOES HEREBY sell, assign, transfer, and convey to ASSIGNEE, its successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of said Letters Patent before or after issuance.

AND ASSIGNOR DOES HEREBY covenant and agree that ASSIGNOR will: communicate to said ASSIGNEE, its successors, legal representatives, and assigns any facts known to ASSIGNOR respecting the Work; testify in any legal proceeding; assist in the preparation of any other Patent Property relating to the Application and the Work or any improvements made thereto; sign/execute all lawful papers; authorize the filing of, execute, and make all rightful oaths and/or declarations in connection with the Application and the Work including any improvements made thereto, any patent applications filed therefrom, and any continuing application filed from any of the aforementioned applications; and generally do everything possible to aid the ASSIGNEE, its successors, legal representatives, and assigns, to obtain and enforce proper patent protection for the Work in all countries.

**COMBINED DECLARATION & ASSIGNMENT (37 CFR 1.63(e))**

*Application Data Sheet filed previously or concurrently*

Docket No.: ALIG.026A

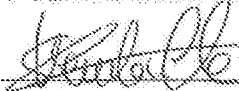
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Title: TRICYCLIC COMPOUNDS

Inventors: Sandrine Vendeville

Legal Name of Inventor: Sandrine Vendeville

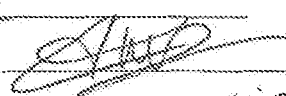
Signature: \_\_\_\_\_



Date: \_\_\_\_\_

18 August 2020

Witnessed by: \_\_\_\_\_



Witness Name (printed): \_\_\_\_\_

LIEVE THIJS

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