# TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1 Stylesheet Version v1.2

ETAS ID: TM323921

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	SECURITY INTEREST	

### **CONVEYING PARTY DATA**

Name	Formerly	Execution Date	Entity Type
Nephrogenex, Inc.		11/20/2014	CORPORATION: DELAWARE

### **RECEIVING PARTY DATA**

Name:	East West Bank
Street Address:	2350 Mission College Blvd., Suite 988
City:	Santa Clara
State/Country:	CALIFORNIA
Postal Code:	95054
Entity Type:	BANK : UNITED STATES

## **PROPERTY NUMBERS Total: 1**

Property Type	Number	Word Mark
Registration Number:	2707434	PYRIDORIN

### CORRESPONDENCE DATA

Fax Number:

4156932222

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.

Phone:

4156932000

Email:

crhem@cooley.com

Correspondent Name:

Cooley LLP

Address Line 1:

101 California Street, 5th Floor

Address Line 4:

San Francisco, CALIFORNIA 94111

ATTORNEY DOCKET NUMBER:	300614-143 NEPHROGENEX	
NAME OF SUBMITTER:	C. Rhem	
SIGNATURE:	/CR/	
DATE SIGNED:	11/20/2014	

### **Total Attachments: 21**

source=EWB - NephroGenex - Intellectual Property Security Agreement (executed) - 11.20.14#page1.tif source=EWB - NephroGenex - Intellectual Property Security Agreement (executed) - 11.20.14#page2.tif source=EWB - NephroGenex - Intellectual Property Security Agreement (executed) - 11.20.14#page3.tif source=EWB - NephroGenex - Intellectual Property Security Agreement (executed) - 11.20.14#page4.tif source=EWB - NephroGenex - Intellectual Property Security Agreement (executed) - 11.20.14#page5.tif source=EWB - NephroGenex - Intellectual Property Security Agreement (executed) - 11.20.14#page6.tif

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### INTELLECTUAL PROPERTY SECURITY AGREEMENT

This **INTELLECTUAL PROPERTY SECURITY AGREEMENT** is entered into as of November 20, 2014 by and between EAST WEST BANK ("Bank") and NEPHROGENEX, INC., a Delaware corporation ("Grantor").

#### **RECITALS**

- **A.** Bank has agreed to make certain advances of money and to extend certain financial accommodations to Grantor (the "Loans") in the amounts and manner set forth in that certain Loan and Security Agreement by and between Bank and Grantor dated of even date herewith (as the same may be amended, modified or supplemented from time to time, the "Loan Agreement"; capitalized terms used herein are used as defined in the Loan Agreement). Bank is willing to make the Loans to Grantor, but only upon the condition, among others, that Grantor shall grant to Bank a security interest in certain Copyrights, Trademarks and Patents to secure the obligations of Grantor under the Loan Agreement.
- **B.** Pursuant to the terms of the Loan Agreement, Grantor has granted to Bank a security interest in all of Grantor's right, title and interest, whether presently existing or hereafter acquired, in, to and under all of the Collateral.

**Now, THEREFORE,** for good and valuable consideration, receipt of which is hereby acknowledged, and intending to be legally bound, as collateral security for the prompt and complete payment when due of its obligations under the Loan Agreement and all other agreements now existing or hereafter arising between Grantor and Bank, Grantor hereby represents, warrants, covenants and agrees as follows:

#### AGREEMENT

To secure its obligations under the Loan Agreement and under any other agreement now existing or hereafter arising between Grantor and Bank, Grantor grants and pledges to Bank a security interest in all of Grantor's right, title and interest in, to and under its Intellectual Property Collateral (including without limitation those Copyrights, Patents and Trademarks listed on Exhibits A, B and C hereto), and including without limitation all proceeds thereof (such as, by way of example but not by way of limitation, license royalties and proceeds of infringement suits), the right to sue for past, present and future infringements, all rights corresponding thereto throughout the world and all re-issues, divisions continuations, renewals, extensions and continuations-in-part thereof.

This security interest is granted in conjunction with the security interest granted to Bank under the Loan Agreement. The rights and remedies of Bank with respect to the security interest granted hereby are in addition to those set forth in the Loan Agreement and the other Loan Documents, and those which are now or hereafter available to Bank as a matter of law or equity. Each right, power and remedy of Bank provided for herein or in the Loan Agreement or any of the Loan Documents, or now or hereafter existing at law or in equity shall be cumulative and concurrent and shall be in addition to every right, power or remedy provided for herein and the exercise by Bank of any one or more of the rights, powers or remedies provided for in this Intellectual Property Security Agreement, the Loan Agreement or any of the other Loan Documents, or now or hereafter existing at law or in equity, shall not preclude the simultaneous or later exercise by any person, including Bank, of any or all other rights, powers or remedies.

Grantor represents and warrants that Exhibits A, B, and C attached hereto set forth any and all intellectual property rights in connection to which Grantor has registered or filed an application with either the United States Patent and Trademark Office or the United States Copyright Office, as applicable.

This Agreement may be executed in two or more counterparts, each of which shall be deemed an original but all of which together shall constitute the same instrument.

IN WITNESS WHEREOF, the parties have caused this Intellectual Property Security Agreement to be duly executed by its officers thereunto duly authorized as of the first date written above.

GRANTOR:

Address of Grantor:	NEPHROGENEXANC.
79 T.W. Alexander Drive 1401 Research Common Building Suite 290, P.O. Box 14188	By: 1/184-1 Name: 1-4-1-118-11/1 Title: 6-0
Research Triangle Park, NC 27709	
Attn: Chief Executive Officer	
	BANK:
Address of Bank:	EAST WEST BANK
2350 Mission College Blvd., Suite 988	By:
šanta Clara, CA 95054	Name:

Attn: Linda LeBeau, Managing Director

[Signature Page to Intellectual Property Security Agreement]

IN WITNESS WHEREOF, the parties have caused this Intellectual Property Security Agreement to be duly executed by its officers thereunto duly authorized as of the first date written above.

	GRANTOR:
Address of Grantor:	NEPHROGENEX, INC.
79 T.W. Alexander Drive 4401 Research Common Building Suite 290, P.O. Box 14188 Research Triangle Park, NC 27709	By: Name: Title:
Attn: Chief Executive Officer	
	BANK:
Address of Bank:	EAST WEST BANK
2350 Mission College Blvd., Suite 988	By J
Santa Clara, CA 95054	Name: ////////////////////////////////////
Attn: Linda LeBeau, Managing Director	LIFE SUENCES

[Signature Page to Intellectual Property Security Agreement]

# **EXHIBIT A**

# Copyrights

	Registration	
Description	Number	Registration Date
None.		

111362760 v2

# **EXHIBIT B**

## **Patents**

DescriptionPatent / Application<br/>NumberIssue / Application<br/>Date

See attached.

Case Number Country		Case Type	Application Number Filing Date	22	Publication Number Publication Date
	EP-AT EPP 04755765.2  Awaignee: NaphroGenex Inc Chent: NaphroGenex Agent: ZSP Patentanialite Title: Pyridoxamine for the Treatment of Dishetic Naphropathy in Type II Dishetes	EPP Sephropoids in	94755763.2 18-Jun-2004 Type II Diabetes		1643999 E526023 12-Apr-2006 IB-Sep-2011 Attorneys: DSH, IFB Client Beft Agent Reft 150/237
	EP-BE 18-Jun-21994  Assignee: NephroGenes inc. Chent: NephroGenes Agent: ZSP Prioransolic Title: Pyridocamine for the Treatment of Disberta Nephropathy in Type II Diabetts	EPP	04788763.2 18.Jun-2094 Type II Diabetus	1	1643999 1643999 12-Apr-2016 28-Sop-2011 Atterwyn DSM IFB Climt Ref: Agent Ref: 8042288
Eudgania	EP.BG	1880	04755763.2 18-hun-2004		1643099 12-Apr-2006
	Assignee: NephroGenex Inc. (Ment: NephroGenex) Agent: ZSP Psignanwalic Title: Pythiaxamine for the Treatment of Diaheda Nephropsihy in Type II Diaheda	sede Nephropsihy in	Type II Diabeus		Atturneys: DSR, IPB Chent Ref: Agent Ref: EP16439990B
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Case Sumber Country	\$\$\text{\$\exititt{\$\text{\$\exititt{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\texititt{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\text{\$\tex{	SubCase	Case Type	Application Sumber Filing Date	Publication Yumber Publication Date	er Patent Number Issue Dute	Status
03-633 Cyprus, Republic of	public of	EP-CY	EF C	04755768.2 18-3100-2004	1643999 12 Apr. 2006	1643990 28.5cg-2011	General
	Assignee: WephenGenex. Inc. Client, NephroGenex. Agent: 2SP Pricatanville Title: Pyridexanus: for t	guee: NaphroGenes, Inc. Heat: NaphroGenes geut: ZSP Fatentairedite Title: Pyridexamina for the Treatment of Diabetic Naphropathy is Type II Diabetes	inductic Supplieopathy in	Type II Dubeses		Atturneys: DSH, IPB Clear Reft Agent Reft CATH/RCP7839	
03-633 Czesh Republic	ANTICO CONTRACTOR OF THE PROPERTY OF THE PROPE	PCZ	dđ3	04753763.2 1%-Jun-2584	1643999 15-Apr-2006	1643999 28-Sap-2011	Granusi
	Assignee: NephroGenes; inc. Client: NephroGenes; Agent: ZSP Patentanvalie; Title: Pyridasamine for)	tenes: NephroGenes, inc. Hent: NephroGenes teent: ZSP Patentan white Title: Pyridos amine for the Transpart of Diabetic Nephropathy in Type II Diabetos	iabelic Nephroparby is:	Lyps II Diabetes		Attorneys: DSH, IFB Client Ref. Agent Ref:	
03-633 Deamark		₩C.49	188	18-Jun-2004	1,643,6999 1,3,3pr-2696	1643099 28-Sep-2011	Granted
	Assignee: NephroCones Inc. Client: NephroCones Agent: ZSP Patennawillo Uthe: Pyridoxanabe: for t	gnes: NephroGenes Inc. Hent: NephroGenes gent: ZSP Patemanwähe Dide: Pyrabosamine for the Treamson of Diabeac Sephropathy in Type II Diabeas	alesac Sephropathy in	Type II Diabetus		Attorneys: DSH, BB Client Ref: Agent Ref:	
01-633 Essionia		EP-EE	ddi	04755763.2 18-Jun-2064	1643009 12-Apr-2006	1643999 38-Sep-2011	Granted
	Assigned: NephroCones Inc. Client: NephroCones Agent: ZSP Putennaville Title: Predimenting for t	gpee: NephroGanea for. Hent: NephroGanea gent: ZSF Paleanapwälts				Attorneys: DSH, IFB Client Belt Agent Belt 150-277 FFFF	100 100

Case Number Country	03-633 European Patem Convention	Asslignee: Client: Agent: Tithe:	03-433	Assignace Clicate Agente Title	03-833 France	Assigner Client: Agent: Title:	7 C23	Charmany
SubCase	EEP EEP	Assignee: WephroGenex Inc. Chent: NephroGenex Agent: ZSP Patentanedite Title: Pyridoxumine for the Treatment of Diabetic Nephropathy in Type II Diabetes	\$P-24	Assignee: NephroGenex Inc. Chent: NephroGenex Agent: Kolster Oy AB Title: Pyridoxamne for the Treatment of Dishene Nephropathy in Type II Disheres	- 1924 -	Assigner: NephroGonex Inc. Client: NephroGonex Agent: ZSP Potentativide Title: Pyridoxamine for the Treatment of Diabetic Nephropathy in Type II Diabetes	KG-43)	Assigned NephroConex Inc. Client NephroConex
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Assignae: NephroGenes inc Client: NephroGenes  Avent: YSP Paternanyelle	EP-II	Assignee: NephroGenex Inc. Chent: NephroGenex Agent: ZSP Patentanwalia Title: Pyridaxamine for the Treatment of Diabette Nephropady in Type II Diabette	31. 433	Assignee: NephroGenes, inc. Client: NephroGenes Agent: ZSP Psieman-wife Title: Pyridoxamme for the Treatment of Dishetic Nephropothy in Type II Dishetics	0.00-233	Assignee: NaphroGenex Inc. Chent: NaphroGenex Agent: ZSP Psiconamissilio Title: Pyridoxamias for the Treatment of Disbette Naphropathy in Type II Diabetes	EP-CR	SubCuse
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	03-633 Poland		03-633 Vetherlands		03-633 Manusco		(13-633 Luxembowy	Case Number Cauntry
Assignes NephroGenes inc. Client; NephroGenes Agent: Wirsk Twardowska Sniezko & Partners Title: Periodoxamine for the Treatment of Diabetic Nephropathy in Type II Diabetics	ીતેન્લલ	Assignee: NephroGenes Inc. (Chent: NephroGenes Agent: ZSP Psignanwalls Title: Pythioxamme for the Traument of Diaheus Nephropasky in Type II Diaheus		Andgrees Nophrotienes inc. Client: Nophrotienes Agent: ZSP Psiconanodite Title: Pyridoxamme for the Treatment of Dishetic Nephropathy in Type II Diabetics	EPANC	Assignee: NaphroGenex lbc Chent: NaphroGenex Agent: ZSP Patentanville Title: Pycidoxamine for the Treatment of Diahetic Naphropathy in Type II Diahetics		ser SubCuss
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	103-633 Sloyenia		CO-633		03-633 Romania		03-633 Portugal	Case Number
Assignee: NephroCenex Inc. Client: NephroCenex Agent: ZSP Prominavelle	22 23 24 24	Assignee: NaphroGanes Inc. Chent: NaphroGanes Agent: ZSP Patananwiita Uithe: Pyrodasanano for the 1	LP-SX	Assignue: NephroGenex Inc. Chent: NephroGenex Agent: ZSP Patennawähe Title: Pyrdoxamine for the 1	D.W.433	Assignee: NephroGenex Inc. Client: NephroGenex Agent: ZSP Patemanwähe Pitte: Pyridoxamino for the 1	18-18-18-18-18-18-18-18-18-18-18-18-18-1	er SubCase
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03-637 United Kingalom	EP-GH		04758763.) 18-Jun-2004	1643999 12-Apr-2006	]643999 28-Sup-2011	Chramted
Assignee: Nej Chent: Nej Agent: ZSi Tübe: Pyr	Assigneet NephryGenex Inc. Client, NephryGenex Agent; ZSF Prientanwilke Tule: Fyridoxamine for the Tresment of Diabetic Nephropuby in Type II Diabetics	tic Nephropusby in	Type II Diabetus	<b>*</b> ♣ ♣	Attorneys: DSM, IFB Client Ref: Agent Ref:	
03-633 United States of America	TSSCOD	N/G	(27019819 25-Jan-2008	US-2008-011952S-AI 2Z-May-2008	8067444 29-New-2011	Grampe
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03-633 United States of America	US-CON7	CON	14/185312 20-Feb-2014	US-2014-0171472-A1 19-Jun-2014		Publication
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Case Number	SubCase	Case Type	Application Number Filing Date	Publication Number Publication Date	Patent Number Issue Date	Status
04-069 United States of America	TUS-CO2	CON	12/855108 12-Aug-2016	US-2010-0305162-A1	162-A1 \$431712 36-Apr-2013	Cammed
Assignee: NephroGenex Inc. Client: NephroGenex Agent: Title: Methods for the S	gnee: NephroGenex Inc. Hent: NephroGenex gent: Title: Methods for the Synthesis of Pyridoxamme	mane		* O >	Attorneys: DSB, BFD Client Ruf: Agent Ruf:	
96-993 European Patent Convertion	o PCT-EP		97835980.9 93-164-2007	20411114 01-Apr-2009	***************************************	Published
Assignee: NephroGenex Inc. Chent: NephroGenex Agent: ZSP Patentanwilli Title: Inhibitors Of Adv.	<b>signae:</b> NephroGenex inc. Chent: NephroGenex Agent: ZSP Patennawdite Title: Inhibaoss Of Advanced Olycation End Products	Products		* O >	Attorneys: USH, B'D Client Roft Agent Roft: 150-257	
06-093 United States of America	US COVS		14/184888 20-Fcb-2014	US-2014-0187506-A) 03-jai-2014		Purilished
Assignee: Nephrodismex Inc. Chent: Nephrodismex Agent:	brothonex inc. brothenex			<b>≥</b> ⊙ <b>&gt;</b>	Aftorneys: 1983, 1994 Client Ref: Agent Ref:	

Physical Country 30 2014			Pare	Patent Last by Case Number	mber		Engal 13
Case Number  Country	SubCase	2	Case Type	Application Number Filing Date	Publication Number Publication Date	Patent Number Resur Pate	Status
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Case Number:				Status Code: Active			
Client Agent Attorney: Assignee: NLPH Country: Area: fuventor:					Case Type(s):		Statux(cs):



### United States Patent and Trademark Office





### Assignments on the Web > Patent Query

# Patent Assignment Abstract of Title

NOTE: Results display only for issued patents and published applications. For pending or abandoned applications please consult USPTO staff.

Total Assignments: 1

Patent #: NONE

Issue Dt:

Application #: 13935791

Filing Dt: 07/05/2013

Publication #: 20130295074 🗸

Pub Dt: 11/07/2013

Inventors: Thorsten Degenhardt, Robert Schotzinger, J. Wesley Fox

Title: Pyridoxamine for the Treatment of Diabetic Kidney Disease

Pages: 6

Assignment: 1

Reel/Frame: 030950/0151

Recorded: 08/06/2013 Conveyance: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

Assignors: DEGENHARDI, THORSTEN

Exec Dt: 02/01/2012

SCHOTZINGER, ROBERT

Exec Dt: 02/01/2012 Exec Dt: 02/06/2012

FOX. 1. WESLEY

Assignee: NEPHROGENEX, INC.

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13/935,791 Pyric	loxamin <mark>e for the Treatment</mark> of D ase	iabetic Kidney	03-633- USCON6	11-17- 2014::19:39:44
Bibliographic Da	ta			
Application Number:	13/935,791	Correspondence Address Customer Number:	20306	
Filing or 371 (c) Date:	07-05-2013	Status:	Docketed N for Examin	lew Case - Ready ation
Application Type:	Utility	Status Date:	03-06-2014	1
Examiner Name:	WESTERBERG, NISSA M	Location:	ELECTRONI	C
Group Art Unit:	1618	Location Date:		
Confirmation Number:	1088	Earliest Publication No:	US 2013-0	295074 A1
Attorney Docket Number:	03-633-USCON6	Earliest Publication Date:	11-07-201	3
Class / Subclass:	514/183	Patent Number:	~	
First Named Inventor:	Thorsten Degenhardt , Durham, NC (US)	Issue Date of Patent:	•	
First named Applicant:	INC. NEPHROGENEX , Research Triangle Park, NC (US)	International Registration Number (Hague);	J	
Entity Status:	Small	International Registration Publication Date:	-	
AIA (First Inventor to File):	No			
Title of Invention:	Pyridoxamine for	the Treatment of Diat	oetic Kidney D	isease

http://portal.uspto.gov/pair/PAIRPrintServlet

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# **EXHIBIT C**

## Trademarks

DescriptionRegistration/ Serial<br/>NumberRegistration/<br/>Application Date

See attached.

Trademark PYKIDORIN	Casementor 8n Country C 99-950 Canada Chester Nephnodieness inc Chester Nephnodieness inc Chester Smart & Higgswifetherstandough Chawa Chester 99-950 For operat Constantity O	SubCase Case Type CARD OND	Application Filing Date (12) 08-200-200 (02376333 (34-Sep-200	Application Number Filing Date 1123089 08-Nov-2001 04-Sep-2001	usion Number — Publication Number Date — Publication Date 59 10-3201 10-3201	iumker Politication Nuodec Politication Date
NDACARA	99 330 European Cammunity Owner: Nephnolenex luc Chent: Nephnolenex Agent Classes: 03 lut	CMC	34.5ep.2001	######################################		
PYRODERY	98.93) New Zealand	ODE	647598 17 Sep 2001	2803	200)	2001
	Owner: NephanGenex inc Chem: NephanGenex Agent Chases: 95 int					Attorneys: USH, 1FB Chent Ref: T558085NZK
MACCINA	99-930 United States of America Owners Nephroticnex inc	ONO	(808); -mi-30		3880) 29-A-18: 3000)	29. Aug. 3000
	Owner NephroGenex Inc. Chent: NephroGenex Agent: Classes: 95 lat.					Attorneys: (1884, 184 Chem Ref: Agent Ref:

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				(4.839) (7.84) (10)		
	Agent			74.55.00 17.5ep.2001		#### #################################

**RECORDED: 11/20/2014** 

Casenumber: Trudemark: Client: Agent: Attorney: Owner: NEPH Country: Area: Keyword:		Spri Order: by Trademark	Trademark Thursday, October 30, 2014	Transday, October 20, 2014
	Filing Date:	by Trademark	Casenumber Country	
Status Codes — Active	Frans	Report Format: Compathensive	SubCase Application Number Case Type Filing Date  Report Selection	Trademark List by Trademark
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Sta tus(cs):		Print Goods?; No Print Remarks?; No Print Images/Links?; No Print Designated Countries?; No	Registration Number Status Registration Date Next Renewal Page 3 Record Counts 6	Page 3