

**PART B—ISSUE FEE TRANSMITTAL**

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PAPER TO BE ENTERED

2. INVENTOR(S) ADDRESS CHANGE (Complete only if there is a change)

INVENTOR'S NAME

Street Address

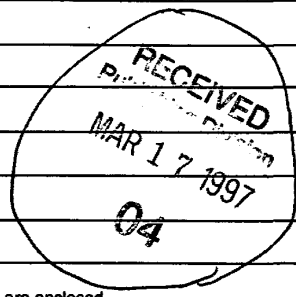
City, State and ZIP Code

CO-INVENTOR'S NAME

Street Address

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Check if additional changes are enclosed



APPLICATION NO.	FILING DATE	TOTAL CLAIMS	EXAMINER AND GROUP ART UNIT	DATE MAILED
08/416,673	04/07/95	009 BOND, R	1202	12/16/96
First Named Applicant	COTTENS, SYLVAIN			

TITLE OF INVENTION: O-ALKYLATED RAPAMYCIN DERIVATIVES AND THEIR USE, PARTICULARLY AS IMMUNOSUPPRESSANTS

ATTY'S DOCKET NO.	CLASS-SUBCLASS	BATCH NO.	APPLN. TYPE	SMALL ENTITY	FEE DUE	DATE DUE
1	100-7932/PCT	514-514.000	H50 UTILITY	NO	\$1290.00	03/17/97

3. Correspondence address change (Complete only if there is a change)

4. For printing on the patent front page, list the names of not more than 3 registered patent attorneys or agents OR, alternatively, the name of a firm having as a member a registered attorney or agent. If no name is listed, no name will be printed.

1 Robert S. Honor

2 Melvyn M. Kassenoff

3 Thomas O. McGovern

5. ASSIGNMENT DATA TO BE PRINTED ON THE PATENT (print or type)

(1) NAME OF ASSIGNEE: SANDOZ LTD.

(2) ADDRESS: (CITY & STATE OR COUNTRY) Basle, Switzerland

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 Issue Fee  Advance Order - # of Copies \_\_\_\_\_

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 Any Deficiencies in Enclosed Fees

The COMMISSIONER OF PATENTS AND TRADEMARKS is requested to apply the Issue Fee to the application identified above.

(Authorized Signature) Thomas O McGovern (Date) 3/14/97

NOTE: The Issue Fee will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the Patent and Trademark Office.

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THOMAS O. MCGOVERN (Name of person making deposit)

*Thomas O McGovern* (Signature)

MARCH 14, 1997 (Date)

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Case No. 100-7932/PCT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Sylvain Cottens, et al. : Art Unit: 1202  
Serial No. 08/416,673 : Examiner: R. Bond  
Filed: April 7, 1995 : Batch No.: H50  
For: O-ALKYLATED RAPAMYCIN :  
DERIVATIVES AND THEIR :  
USE, PARTICULARLY AS :  
IMMUNOSUPPRESSANTS :

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(Date of Deposit)

Thomas O. McGovern

Name of applicant, assignee, or Registered Representative

Thomas O. McGovern

Signature

March 14, 1997

Date of Signature

AMENDMENT UNDER 37 CFR 1.312

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Under the provision of 37 CFR 1.312, please amend the above identified application as follows:

IN THE CLAIMS

Please cancel claim 4, 9, and 10.

In line 1 of claims 11 to 15, after the word "claim", delete the number "10", and insert in its place in each instance the number -- 19 --.

In line 1 of claims 11, 12, and 13, after the word "which", delete the term "R<sub>1</sub>", and insert in its place in each instance the term -- R<sup>1</sup> --.

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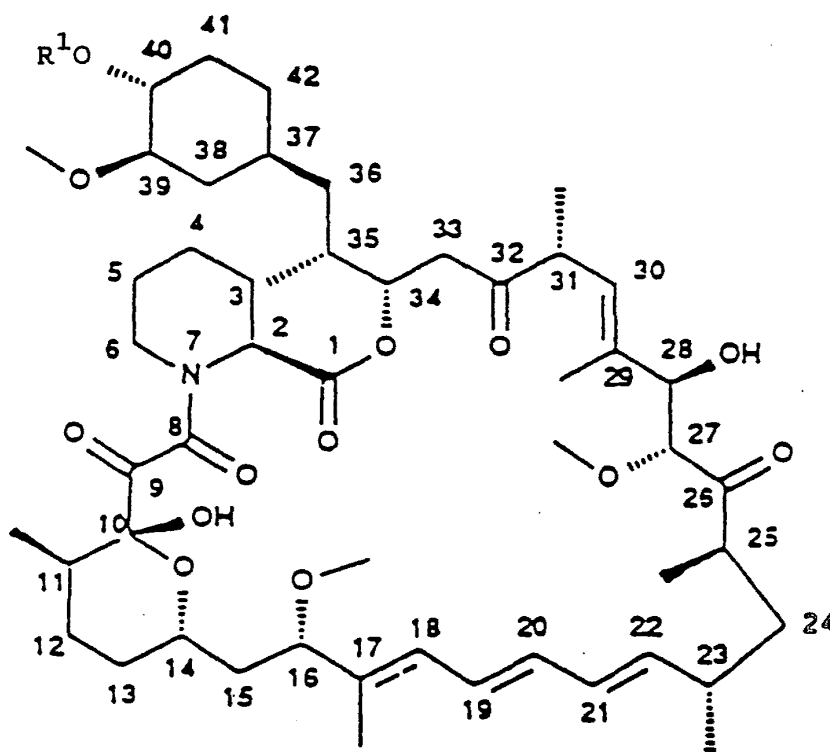
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Claim 16, line 2; claim 17, line 4; and claim 18,  
line 3, after the word "claim", delete the number "10", and  
insert in its place in each instance the number -- 19 --.

Please add the following new claims <sup>18</sup>19 and <sup>19</sup>20.

~~178~~ 19. A compound of the formula



wherein R<sup>1</sup> is hydroxy(C<sub>1-6</sub>)alkyl or  
hydroxy(C<sub>1-3</sub>)alkoxy(C<sub>1-3</sub>)alkyl.

~~10~~  
~~19~~ 20. The compound according to claim ~~19~~ which is  
40-O-(3-hydroxyethyl)-rapamycin.

REMARKS

Claims 9 to 18 have been allowed and claims 11 to 20 are now in the application. No additional fee is required.

The instant application was allowed on December 16, 1996; and the issue fee is being submitted concurrently with this amendment.

It is respectfully requested that the above amendments of the claims be entered. The entering of these amendments will not require a new search nor will it require substantial additional work on the part of the Patent and Trademark Office. This Amendment is believed to be proper under the provisions of Rule 312, because it corrects minors errors in the structures and definitions of the claims. Claim 10 has been replaced with new claim 19 to remove the space in the double bond between carbons 17 and 18 in claim 10 and conform the bond to that of the generic compound of formula I on page 2 of the application. Substituent R<sup>1</sup> has been amended in claims 11 to 13 and in new claim 19 to properly identify it. The definition of substituent R<sup>1</sup> has also been amended to limit the alkylene groups of the hydroxyalkoxyalkyl moiety to the preferred C<sub>1-3</sub> alkylene set out on page 3, line 10 of the application. Applicant have added new claim 20 to the application to replace claim 4, which may have been inadvertently deleted from the application instead of claim 9, which was canceled by the Amendment of October 15, 1996.

The proposed amendment do not broaden the scope of the claims or introduce new matter. They were not presented earlier because it was only during a review of the allowed application that it was noted that the amendments were needed. It is therefore respectfully requested that the proposed amendment be entered under the provisions of 35 CFR 1.312.

Respectfully submitted,

By *Thomas O. McGovern*  
Thomas O. McGovern  
Registration No. 25,741  
(201) 503-8480

TOM:lmc

NOVARTIS CORPORATION  
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March , 1997

Enclosures: COM Stamp; Postcard

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