

Linked report — ADC platform-improvement provisions in filed alliances dated 2020 or later

Every line below except the headings and this note is copied verbatim from the generated analysis report

Product_Roadmap/Ex10_provisions/topics/adc_platform_improvements/analyze/report.md (observation tags removed), or rendered from the review findings ledgers analyze/R3b/ledger.json and analyze/R3c/ledger.json. Nothing here is retyped.

Population

The candidate set is 43 folders (topic listed, D1 year 2020 or later, or no printed date). 41 are coded alliance rows and 2 are excluded. Every exclusion is listed below with its basis; 0 rest on the MANIFEST date rule and have no quotable text.

dispositions

disposition	folders
IN_COHORT	41
NOT_ALLIANCE	1
NO_ADC_PLATFORM	1

excluded folder	disposition	basis (deciding span first)	obs
BioAtla-Himalaya Amended-and-Restated-Exclusive-Rights 2020-01-01	NO_ADC_PLATFORM	[[WHEREAS, BioAtla has developed, and possesses intellectual property rights in and to, its proprietary Conditionally Active Biologics platform for the design and ...]]	
Shattuck-ImmunoGen Clinical-Trial-Collaboration-and-Supply 2022-	NOT_ALLIANCE:clinical_trial_collaboration_and_supply	[[This CLINICAL TRIAL COLLABORATION AND SUPPLY AGREEMENT (this "Agreement"),	

excluded folder	disposition	basis (deciding span first)	obs
02-04		made]]	

Distribution of improvement categories

The 41 coded alliances carry 43 platform allocations and 68 branches; 20 allocations are HYBRID, split by subject matter or by a time trigger in the text (codebook §4.4, CB-5c).

distribution in this cohort. UNDETERMINED and ABSENT are shown beside the coded counts and are never folded into each other.

code	I.P name	branches	of which FIT UNDETERMINED	alliance s holding it	I.P share (context only*)
1	Assign Improvements	1	0	1	32%
2	Assign & License	14	0	13	20%
3	License (to partner)	1	0	1	14%
4	License with grant-back	11	2	11	18%
5	Joint / each owns its sole	0	0	0	16%
OTHER:ALL_JOINT	–	3	0	3	–
OTHER:ASSIGN_TO_PARTNER	–	6	1	5	–
OTHER:PARTNER_SOLE_JOINT	–	1	0	1	–
UNDETERMINED	–	31	0	25	–
ABSENT	–	0	0	0	–

* Shares as reported in the I.P article for the analysis of improvement provisions it cites. The article does not state that analysis's population or period, so the shares are context only; no test against them is made.

Protective measures

protective measures over the 41 coded alliances, by the strongest status any allocation carries. Counts are of visible text; a redacted clause is shown as such, never as absent.

measure	present	redacted only	general clause only	none found
SEG	17	13	0	11
NC	25	10	0	6

- R3c-2: NC visible-activity test, applied uniformly: a non-compete is PRESENT only where the restricted activity itself is visible in the covenant. Where the activity is under a marker and can be inferred only from an exception, carve-out, caption, cross-reference or definition, it is REDACTED_ONLY. (folders changed here: ImmunoGen-HangzhouZhongmei Collaboration-and-License 2020-10-19; DualityBio-BioNTech License-and-Collaboration 2023-08-04; WuXi-Aadi Intellectual-Property-License 2024-12-19; Mersana-Janssen Research-Collaboration-and-License 2022-02-02)

Structures outside the five I.P categories

- OTHER:ALL_JOINT — 3 alliance(s); first instance in the final build JiangsuAlphamab-ArriVent Research-and-Collaboration 2024-06-02, the O_OS element of branch 1: `[[12.2.2for each Program, any and all Compound Patents under any Program of this Agreement shall be Joint New Patents. Upon confirmation of a Target Pair by the JSC, Alphamab will, and hereby does, assign to ArriVent an undivided eq ...]].`
- OTHER:ASSIGN_TO_PARTNER — 5 alliance(s); first instance in the final build GSK-Mersana Collaboration-Option-and-License 2022-08-06, the O_OS element of branch 1: `[[13.1.3 GSK Arising Technology. As between the Parties, from and after the License Effective Date, GSK shall be the sole owner of all rights, title and interests in and to any (a) Product-Specific Arising Know-How and Product-Speci ...]].`
- OTHER:PARTNER_SOLE_JOINT — 1 alliance(s); first instance in the final build NextCure-LegoChem Research-Collaboration-and-Co-Development 2022-11-09, the O_OS element of branch 2: `[[From and after the Transition Agreement Effective Date, any Invention, Patent, or Know-How conceived or reduced to practice solely by or on behalf of LCB in the course of LCB's continued Development, Manufacture, or Exploitation o ...]].` The codebook registered its first instance from an earlier build (NextCure-LegoChem Research-Collaboration-and-Co-Development 2022-11-09); this quote is computed from the final codes (codebook CB-5 erratum).

Reading notes

An alliance is counted under a code if any of its branches computes to it, whether the fit is EXACT or PARTIAL (a named element met only by silence or default; the per-alliance table names it). Alliances that hold a code only as a PARTIAL fit: code 1: 0; code 2: 3 (GSK-Mersana Collaboration-Option-and-License 2022-08-06, NextCure-LegoChem Research-Collaboration-and-Co-Development 2022-11-09, Paragon-Parascent-Crescent Adc-Discovery-and-Option 2024-10-28); code 3: 1 (MayoFoundation-Sorrento Patent-and-Know-How-License 2020-09-08); code 4: 0; code 5: 0.

Codes 3, 4 and 5 share one ownership test: ownership follows inventorship. They differ in the licence to the partner and the grant-back (codebook primary codes). Of the 11 alliances holding code 4, 11 have a code-4 branch whose ownership elements also meet code 5's ownership test (expressly or by silence); they are code 4, not 5, because the originator's improvements are licensed to the partner and the partner grants rights back.

2 alliance(s) are coded from both sides, each party being the platform originator of one allocation: Lisata-Redwood Non-Exclusive-License 2025-10-XX; Nurix-Seagen Collaboration-and-License 2023-09-06. Each such alliance counts once under every code either allocation carries.

The fifth category and its dependency on CB-6f

I.P categories with no coded Q-ADC branch in this cohort: 5.

CB-6f sensitivity (codebook CB-6x, recorded after the reads that applied it): on the strict, definition-only reading the licence to the partner is NONE in the 3 branches that rest on CB-6f (JiangsuAlphamab-ArriVent Research-and-Collaboration 2024-06-02 branch 0 2 EXACT → 1 EXACT; JiangsuAlphamab-ArriVent Research-and-Collaboration 2024-06-02 branch 2 4 EXACT → 4 PARTIAL(L_P=NONE); Sutro-Ipsen Exclusive-License 2024-03-29 branch 1 4 EXACT → 4 PARTIAL(L_P=NONE)). I.P categories with no coded Q-ADC branch would then be: 5; codes held by one alliance: 3, OTHER:PARTNER_SOLE_JOINT. Combined with the alternative CB-5b tie-break (a grant-back without a licence read as 5): categories not observed none; held by one alliance 3, OTHER:PARTNER_SOLE_JOINT.

Codebook rulings and their ratification status

Codebook v1 was recorded before Analyze coding (no provision had been coded). Amendments follow, each with the timing it records (rendered from analyze/codebook.json) and its status; Mark's ruling A8 ratified ADJ-1, CB-5, CB-6, CB-6x; Mark's ruling R3c-1 ratified CB-7a, CB-7b, CB-7c, CB-7d, CB-7e, CB-7f, CB-7g, CB-7h, CB-7i.

codebook amendments and timing

amendme nt	versio n	type	recorded	status
CB-1	v1.1	interpretation (no new label)	before: the main coding pass; after a 2- folder pilot (Sutro- Astellas, BioAtla- Himalaya) whose reader output is set aside and re-coded under this amendment	no ratificati on recorded
CB-2.1	v1.2	new OTHER label	after reader A coding (labels are created on	no ratificati

amendment	version	type	recorded	status
			first instance, codebook residual_codes rule); quote cut by code from the provision's offsets	on recorded
CB-2.2	v1.2	new OTHER label	after reader A coding (labels are created on first instance, codebook residual_codes rule); quote cut by code from the provision's offsets	no ratification on recorded
CB-2.3	v1.2	new OTHER label	after reader A coding (labels are created on first instance, codebook residual_codes rule); quote cut by code from the provision's offsets	no ratification on recorded
CB-2.4	v1.2	new OTHER label	after reader A coding (labels are created on first instance, codebook residual_codes rule); quote cut by code from the provision's offsets	no ratification on recorded
CB-2	v1.2	compute rule (scripts/analyze_codes.py)	after reader A coding, before reader B and before any verdict was computed	no ratification on recorded
CB-3	v1.3	compute fix (scripts/analyze_codes.py) to match the codebook's own FIT definition	after readers A and B and the adjudicator, before any Q-DT verdict was computed; raised by the adjudicator (Mayo-Sorrento). Readers record	no ratification on recorded

amendment	version	type	recorded	status
			elements, not FIT, so no read changes.	
ADJ-1	v1.3	adjudication rule (scripts/analyze_finalize_reads.py)	(timing stated in its type)	ratified by Mark (A8)
CB-4	v1.3	shape-test decision rule (OP-21-01)	after coding was complete and code distributions were visible, before the Q-DT verdicts and shape result were computed by scripts/analyze_report.py; the report discloses this timing.	no ratification recorded
CB-5	v1.4	clarifications raised by R3 (recorded after R3, before the R3 fix pass)	(timing stated in its type)	ratified by Mark (A8)
CB-6	v1.4	secondary-code and TR visibility rule (raised by R3)	(timing stated in its type)	ratified by Mark (A8)
CB-6x	v1.5	rulings applied by the R3 fix-pass adjudicators (ADJ2/SEC), recorded by the lead AFTER those reads were written; they ratify and harmonise readings, and the report discloses this timing	(timing stated in its type)	ratified by Mark (A8); recorded after the reads that applied it, which stays disclosed
MARK-AN	v1.6	operator rulings (Mark) on analyze/MARK_QUESTIONS_analyze.md; source analyze/MARK_RULINGS_analyze_2026-10-11.json	(timing stated in its type)	operator ruling (Mark)
CB-7	v1.6	lead rulings from the R3b review, recorded AFTER the reads they correct (ADJ3 applies them); NOT yet ratified by Mark; the report discloses timing and lists each for	(timing stated in its type)	ratified by Mark (R3c-1: CB-7a-i); recorded

amendment	version	type	recorded	status
		ratification		after the reads that applied it, which stays disclosed
MARK-R3c	v1.7	operator rulings (Mark, 2026-10-13) after the R3c fresh check; source analyze/MARK_RULINGS_analyze_2026-10-13.json	(timing stated in its type)	operator ruling (Mark)

Folders whose adjudication entries (ADJ3, ADJ4) cite each CB-7 rule, whether or not the rule changed the read: CB-7a: 6 (DualityBio-BioNTech License-and-Collaboration 2023-03-16, DualityBio-BioNTech License-and-Collaboration 2023-03-31, DualityBio-BioNTech License-and-Collaboration 2023-08-04, ImmunoGen-EliLilly License 2022-02-14, JiangsuHengrui-IDEAYA License 2024-12-27, Paragon-Parascent-Crescent Adc-Discovery-and-Option 2024-10-28); CB-7b: 7 (DualityBio-BioNTech License-and-Collaboration 2023-03-16, DualityBio-BioNTech License-and-Collaboration 2023-03-31, DualityBio-BioNTech License-and-Collaboration 2023-08-04, ImmunoGen-EliLilly License 2022-02-14, ImmunoGen-Vertex License-and-Option 2023-02-27, JiangsuHengrui-IDEAYA License 2024-12-27, Paragon-Parascent-Crescent Adc-Discovery-and-Option 2024-10-28); CB-7c: 3 (ImmunoGen-EliLilly License 2022-02-14, Zentalis-Immunome License 2024-01-05, Zymeworks-Atreca Option-and-License 2022-04-04); CB-7h: 2 (ZaiLab-Medilink License 2023-04-24, Zentalis-Immunome License 2024-01-05); CB-7i: 2 (ImmunoGen-HangzhouZhongmei Collaboration-and-License 2020-10-19, Zymeworks-Atreca Option-and-License 2022-04-04). CB-7c is applied by `analyze_codes.compute_branch` to every branch: 3 branch(es) in 3 alliance(s) are counted under a code whose FIT depends on hidden words (Bayer-Vincera License 2020-10-07; Mersana-Janssen Research-Collaboration-and-License 2022-02-02; Zentalis-Immunome License 2024-01-05).

Open readings and their effect on the counts

- S1 (R3b-ADC-11 / R3c-ADC-04; Lisata-Redwood Non-Exclusive-License 2025-10-XX): Lisata is read as an originator of its own platform (certepetide payloads), so the alliance is coded from both sides. If that reading is rejected, Lisata's second allocation drops.
- S2 (R3c-ADC-03; Mersana-Janssen Research-Collaboration-and-License 2022-02-02): CB-7a (now ratified) has not been applied here: the Mersana Platform Invention and Product Invention class definitions (11.2.3(a), 11.2.4(a)) are wholly redacted. Applied, the ownership elements of both branches are REDACTED.
- S3 (R3c-ADC-05; ImmunoGen-HangzhouZhongmei Collaboration-and-License 2020-10-19): CB-7i strict reading: the hidden exclusion in the 1.89/1.94 licensed-IP

definitions is held to reach the improvements licence despite the later inclusion sentence (the recorded reading applies CB-7i's exception limb).

alliance counts as coded and under each open reading taken alone, recomputed by compute_branch; a changed count shows the as-coded value beside it. These readings are open questions for Mark, not results.

reading	code 1	code 2	code 3	code 4	code 5	ALL_JOINT	ASSIGN_TO_PARTNER	PARTNER_SOLE_JOINT	with an UNDETERMINED branch	fully placeable	with a split (HYBRID) allocation
as coded	1	13	1	1 1	0	3	5	1	25	16	20
S1	1	12 (as coded 13)	1	1 1	0	3	4 (as coded 5)	1	25	16	19 (as coded 20)
S2	1	13	1	1 1	0	3	4 (as coded 5)	1	25	16	20
S3	1	12 (as coded 13)	1	1 1	0	3	5	1	26 (as coded 25)	15 (as coded 16)	20

Lake witness leg

The PLAN §4.1 lake witness leg (protocol analyze/lake_leg/PROTOCOL.md, result analyze/lake_leg/adc_platform_improvements.json) compared the filed bytes of each of this topic's 68 distinct harvested exhibit versions (70 folder-versions in 43 candidate folders) with the lake's stored copy at lake snapshots 280174, 280268 (more than one snapshot answered; each row records its own): EQUAL 43, WITNESS_CONFLICT 2, NOT_IN_LAKE 23, UNMEASURED 0. NOT_IN_LAKE by reason class (derived from each version's own form, exhibit type and filing date): after_lake_end 0, form_not_held 20, exhibit_type_not_ex10 0, 8k_known_hole_2018_2021 0, unexplained 3. Unexplained absences: Seagen-ZaiLab Collaboration-and-License 2022-09-20 [0001628280-22-029246:zlab-20220930xexx101_seage.htm]; WuXi-Aadi Intellectual-Property-License

2024-12-19 [0001628280-25-015269:exh1025-wuxixexclusivelice.htm]; Shattuck-ImmunoGen Clinical-Trial-Collaboration-and-Supply 2022-02-04 [0001680367-23-000019:imgnredacted.htm]. UNMEASURED: none (by cause: query_error 0, no_lake_hash 0). Witness conflicts: NextCure-LegoChem Research-Collaboration-and-Co-Development 2022-11-09 [0001104659-26-092050:nxtc-20260630xex10d7.htm]; Roche-C4 Research-Collaboration-and-License 2026-04-08 [0001628280-26-055494:exhibit102rochec4t.htm]. In 2 of these 2, the lake's copy carries a sec.gov bot-manager script tag and equals the filed bytes once that tag is removed; that is a diagnostic and the status stays WITNESS_CONFLICT (analyze/lake_leg/WITNESS_CONFLICTS_for_Mark.md). EQUAL means only that the lake's copy and the harvested copy are byte-identical; this leg does not measure completeness and is not a statement that Harvest or Analyze is complete.

Limits

Codes describe what the filed text allocates. They are candidate generation and structural description, not a view on enforceability, recorded ownership, or what an unredacted copy says, and not a freedom-to-operate view.

Redaction is not absence: UNDETERMINED means the deciding words are under a redaction marker or in an unfiled instrument the text says governs (codebook CB-1, CB-6d), and it is reported beside every count.

Every count here is of this cohort of filed exhibits; nothing here describes alliances outside it.

No patent claim scoring (KC) was used in this analysis, and nothing here asserts the strength of any patent claim.

Review state

Review findings ledger (analyze/R3b/ledger.json), rendered: findings CLOSED 45, OPEN_DEFERRED 10; re-opened earlier closures CLOSED 19, OPEN_DEFERRED 2.

Ledger note: 2026-10-12: closures are the lead's record; no fresh independent check of the fixes has been run.

Ledger note: 2026-10-13: the fresh independent check (R3c) has now been run. It found 9 of the closures in this ledger failing; those, and its new findings, are in analyze/R3c/ledger.json.

Fresh-check ledger (analyze/R3c/ledger.json), rendered: findings MUST_FIX CLOSED_BY_LEAD 3, MUST_FIX OPEN 1, NOTE CLOSED_BY_LEAD 2, NOTE OPEN 29, SHOULD_FIX CLOSED_BY_LEAD 3, SHOULD_FIX OPEN 18; R3b closures it failed OPEN 9; article scope checks it failed OPEN 3.

Ledger note: 2026-10-13: closures are the lead's record (the same session that applied Mark's R3c rulings); they have not been re-checked by a fresh reviewer.