

09-18-1998

Docket No. 230/022

100830515

HEET

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Giovanni Pastrone, Tracy D. Maahs, and Ross S. Tsugita

Additional name(s) of conveying party(ies) attached? ☐ Yes☒ No

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other \_\_\_\_\_Execution Date: September 2, 1998

## 2. Name and address of receiving party:

Name: EMBOL-X, INC.

Internal Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Street Address: 645 Clyde AvenueCity: Mountain View State: CA Zip: 94043-2213Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No(s). 09/008,647

B. Patent No(s): \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: John KapposInternal Address: LYON & LYON LLP  
633 West Fifth Street, Suite 4700  
Los Angeles, CA 90071-20666. Total number of applications and patents involved: 1

## 7. Total fee (37 CFR 3.41):

\$ 40.00

☒ Enclosed☐ Charge this Deposit Account if any additional fee is required8. Deposit Account Number: 12-2475

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## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

John Kappos  
John Kappos, Reg. No. 37,861Date: September 8, 1998Total number of pages including cover sheet: 3

OMB No. 0651-0011 (exp. 4/94)

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Mail documents to be recorded with required cover sheet information to:

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Box Assignments

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09/16/1998 ASELMAN 00000002 09008647

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230/022ASSIGNMENT

WHEREAS, WE, DENISE BARBUT, a citizen of UNITED KINGDOM, and GIOVANNI PASTRONE, TRACY D. MAAHS, and ROSS S. TSUGITA, all citizens of U.S.A., (hereinafter referred to as "ASSIGNORS"), have invented and own a certain invention entitled AORTIC OCCLUDER WITH ASSOCIATED FILTER AND METHODS OF USE DURING CARDIAC SURGERY for which application for Letters Patent of the United States of America was filed on January 16, 1998, and assigned Serial No. 09/008,647; and

WHEREAS, EMBOL-X, INC. a corporation organized and existing under and by virtue of the laws of the State of Delaware and having its principal place of business at 645 Clyde Avenue, Mountain View, CA 94043-2213 (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNORS hereby authorize and request the Commissioner of Patents and Trademarks to issue

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said Letters Patent or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNORS further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF the ASSIGNORS have executed this Assignment at:

_____. NY (City)	Denise Barbut	_____ Date
Los Gatos, CA (City)	<u>Giovanni Pastrone</u> Giovanni Pastrone	9-2-98 Date
Mountain View, CA (City)	<u>Tracy D. Maaha</u> (Tracy D. Maaha)	9-2-98 Date
Mountain View, CA (City)	<u>Ross S. Tsugita</u> Ross S. Tsugita	9/2/98 Date

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PHONE NO. : 408 395 1219

FROM : JOHN PASTRONE CONSULTANT

408 395 1219

RECORDED: 09/11/1998

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