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Express Mail No.

EJ072394903US

Attorney's Docket No. P-921

PATENT

Box Patent Application

Commissioner of Patents and Trademarks

Washington, D.C. 20231

JC540 U.S. PTO

09/207295



12/08/98

**COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING  
NEW PATENT APPLICATION (37 CFR 3.31)****IDENTIFICATION OF APPLICATION (37 CFR 3.21  
and 37 CFR 3.31(a)(4))**

1. The patent application filed herewith and to which the attached assignment (document) refers is identified as follows:

a. Date of execution: Dec. 8, 1998

b. Name of each inventor:

1: Alicia Heck

2:

3:

c. Title of invention: PARTITIONED HEMOSTASIS VALVE SYSTEM

**NOTE:** "If an assignment is executed concurrently with, or subsequent to the execution of the patent application, but before the patent application is filed, it must identify the patent application by its date of execution, name of each inventor, and title of the invention so that there can be no mistake as to the patent application intended." 37 CFR 3.21.

**CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that this "Cover Sheet For Assignment (Document) Accompanying New Patent Application", along with any document referred to, is being deposited with the United States Postal Service on this date Dec. 8, 1998 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EJ072394903US addressed to the: Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Dorothy Goodlett

(type or print name of person mailing paper)

(Signature of person mailing paper)

**WARNING:** Certificate of mailing (first class) or facsimile transmission procedures of 37 CFR 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

(Cover Sheet For Assignment Accompanying New Patent Application [4-2.3]—page 1 of 4)

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PATENT

REEL: 9660 FRAME: 0462

**NAME OF PARTY(IES) CONVEYING INTEREST (37 CFR 3.31(a)(1))**

2. The party(ies) conveying this interest is (are):

Name 1: Alicia Heck

Name 2: \_\_\_\_\_

Name 3: \_\_\_\_\_

**NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST  
(37 CFR 3.31(a)(2))**

3. The rights are being conveyed to:

Name: Daig Corporation

Address: 14901 DeVeau Place  
Minnetonka, MN 55345-2126

Telephone No.: ( 612 ) 933-4700

**DESCRIPTION OF INTEREST CONVEYED OR  
TRANSACTION RECORDED (37 CFR 3.31(a)(3))**

4. The accompanying document intends to accomplish:

- ☒ an assignment.  
☐ a security agreement.  
☐ a license.  
☐ a merger.  
☐ a change of name.  
☐ a change of address.  
☐ other.

**NAME AND ADDRESS OF PARTY TO WHOM CORRESPONDENCE  
SHOULD BE MAILED (37 CFR 3.31(a)(5))**

5. Please address correspondence to:

Name: Scott R. Cox

Address: LYNCH, COX, GILMAN & MAHAN, P.S.C.  
500 Meidinger Tower, 462 South Fourth Avenue  
Louisville, KY 40202

Telephone No.: (502 ) 589-4215

**DATE ASSIGNMENT (DOCUMENT) EXECUTED (37 CFR 3.31(a)(7))**

6. The attached assignment (document) was executed on Dec. 3, 1998:  
(date)

(Cover Sheet For Assignment Accompanying New Patent Application [4-2.3]—page 2 of 4)

**LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED**

NOTE: "The Office will accept and record non-English language documents only if accompanied by a verified English translation signed by the individual making the translation." 37 CFR 3.26.

The attached document:

- ☒ is in the English language.  
☐ is not in the English language and a verified English translation signed by the individual making the translation is attached.

**ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED**

NOTE: "Either the original document or a true copy of the original document may be submitted for recording. Only one side of each page shall be used. The paper used should be flexible, strong, white, non-shiny, durable, and preferably no larger than 21.6 x 33.1 cm. (8 1/2 x 14 inches) with a 2.5 cm. (one-inch) margin on all sides." 37 CFR 3.24.

7. Submitted herewith is:

- ☒ the original document.  
☐ a true copy of the original document.

NOTE: "If the original [assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 C.F.R. § 3.24] by providing a true copy of the original document using only one side of each page on the correct size paper." Notice of June 24, 1992, 1140 O.G. 63-76, at 67.

**NUMBER OF APPLICATIONS IDENTIFIED IN THIS COVER SHEET AND THE FEE (37 CFR 3.31 (a)(6))**

8. A. This cover sheet identifies only one application:

B. The fee for recordal (37 CFR 1.21(h)) is \$40.00.

- ☒ Attached is a check for \$40.00.  
☐ Please charge Account \_\_\_\_\_ \$40.00.  
A duplicate of this cover sheet is attached.

**STATEMENT (37 CFR 3.31(a)(9)) AND SIGNATURE  
(37 CFR 3.31 (a)(10))**

9. 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.

Date: 12/8/98

Scott R. Cox

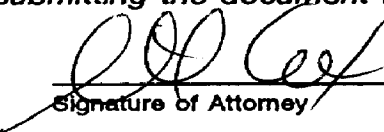
(Name of party submitting document)

(Signature of party submitting document)

(Cover Sheet For Assignment Accompanying New Patent Application [4-2.3]—page 3 of 4)

(complete the following if the party submitting the document is applicant's attorney)

Reg. No. 31,945

  
\_\_\_\_\_  
Signature of Attorney

Tel. No. ( 502 ) 589-4215

\_\_\_\_\_  
Scott R. Cox

\_\_\_\_\_  
type or print name of Attorney

\_\_\_\_\_  
500 Meidinger Tower

\_\_\_\_\_  
P.O. Address

\_\_\_\_\_  
462 South Fourth Avenue

\_\_\_\_\_  
Louisville, KY 40202

**TOTAL NUMBER OF PAGES BEING SUBMITTED**

10. The total number of pages being submitted, including cover sheet, attachment(s), and document(s) are:

\_\_\_\_\_  
seven (7)

\_\_\_\_\_  
Total number of pages submitted

Express Mail No. EJ072394903US

Attorney's Docket No. P-921
**PATENT**

For: ☒ U.S. and/or ☒ Foreign Rights  
For: ☒ U.S. Application or  
☐ U.S. Provisional Application  
For: ☐ U.S. Patent  
For: ☐ PCT Application  
By: ☐ Inventor(s) or ☐ Present Owner

### ASSIGNMENT OF INVENTION

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

**ASSIGNOR:**

Inventor(s) or person(s) or  
entity(ies) who own the  
invention

Alicia Heck  
*(type or print name(s) of ASSIGNOR(S))*  
8906 Minnehaha Circle N.  
Address St. Louis Park  
Minneapolis, MN 55345  
United States of America  
Nationality

*(if assignment is by person or entity to whom invention was previously assigned  
and this was recorded in PTO, add the following)*

Recorded on \_\_\_\_\_ Reel \_\_\_\_\_  
Frame \_\_\_\_\_

hereby sells, assigns and transfers to

**ASSIGNEE:**

Daig Corporation  
*(type or print name(s) of ASSIGNEE(S))*  
14901 DeVeau Place  
Address \_\_\_\_\_  
Minnetonka, MN 55345-2126  
United States of America  
Nationality

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

☒ the entire right, title and interest

☐ an undivided \_\_\_\_\_ percent (\_\_\_\_\_%) interest

for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☐ and in all foreign countries, including all rights to claim priority,

in and to any and all improvements which are disclosed in the invention entitled:

PARTITIONED HEMOSTASIS VALVE SYSTEM

Name of inventor(s) Alicia Heck

(check and complete (a), (b), (c), (d), (e), (f) or (g))

and which is found in

(a) ☐ U.S. patent application executed on even date herewith

(b) ☒ U.S. patent application executed on Dec 8 1998

(c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention.

☐ Express mail label no.: \_\_\_\_\_

Mailed: \_\_\_\_\_

☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.

(d) ☐ U.S. application no. \_\_\_\_\_ / \_\_\_\_\_  
filed on \_\_\_\_\_

(e) ☐ International application no. PCT/ \_\_\_\_\_ / \_\_\_\_\_

(f) ☐ U.S. patent no. \_\_\_\_\_ issued \_\_\_\_\_

☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

(g) ☐ and any legal equivalent thereof in a foreign country, including the right to claim priority

and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof

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

(Assignment of Invention [16-3]—page 2 of 3)

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives 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 thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, I/We have hereunto set hand and seal this 30 day  
of December 1998  
Date of signing

**WARNING:** The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Date: 12-3-98

Alicia Head  
Signature of ASSIGNOR(S)

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

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

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

*(if ASSIGNOR is a legal entity, complete the following information)*

\_\_\_\_\_  
(type or print the name of the above person  
authorized to sign on behalf of ASSIGNOR)

\_\_\_\_\_  
Title

**NOTE:** No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized, then it will only be prima facie evidence of execution. 35 USC 261. Use next page if notarization is desired.

☐ Notarization or Legalization Page Added.

(Assignment of Invention [16-3]—page 3 of 3)