

FORM PTO-1595  
(Rev. 6-93)  
OMB No. 0651-0011 (exp. 4/94)

05-28-1999

U.S. Department of Commerce  
Patent And Trademark Office



101050450

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

1. Name of conveying party(ies):

**Mark S. Buhr, Adib G. Daoud,  
Derek J. Daw, John E. Merritt**

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: **May 12, 1999**

2. Name and address of receiving party(ies):

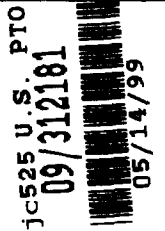
Name: **TherOx, Inc.**

Internal Address:

Street Address: **2400 Michelson Drive**

City: **Irvine** State: **California** Zip: **92612-1310**

Additional name(s) & address(es) attached? ☐ Yes ☒ No



4. Application number(s) or registration number(s): **Unassigned**

If this document is being filed together with a new application, the execution date of the application is: **Application Filed  
May 14, 1999**

A. Patent Application No.(s): **Unassigned**

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

09/312181

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

Name: **Michael G. Fletcher**

Internal Address: **FLETCHER, YODER & VAN SOMEREN  
P.O. Box 692289  
Houston, Texas 77269-2289**

Street Address: **7915 FM 1960 West, Suite 330  
Houston, Texas 77070**

6. Total number of applications and patents involved: **1**

7. Total fee (37 C.F.R. 3.41)----- \$ **40.00**

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

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.*

**Joseph A. Uradnik**

Name of Person Signing

Signature

**May 14, 1999**

Date

Total number of pages including cover sheet, attachments and document: **4**

Mail documents to be recorded with required cover sheet information to:  
Assistant Commissioner for Patents, Box Assignments  
Washington, D.C. 20231

**PATENT**  
**REEL: 009978 FRAME: 0644**

## ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, does hereby:

SELL, ASSIGN AND TRANSFER to **TherOx, Inc.** (the "Assignee"), having a place of business at **2400 Michelson Drive, Irvine, California, 92612**, the entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, which has been executed by the undersigned concurrently herewith, and is entitled "**APPARATUS AND METHOD FOR HIGH PRESSURE FLUID FILTRATION**," such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will (1) execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; (2) execute all rightful oaths, declarations, assignments, powers of attorney and other papers; (3) communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; (4) cooperate with the Assignee in any interference, opposition, dispute, or litigation involving any of the applications or patents for such improvements; and (5) generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;

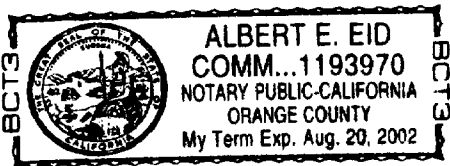
TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

(Signature): Mark Buhr  
Name: **Mark S. Buhr**

Date: 5/11/99

STATE OF CA. §  
COUNTY OF Orange. § ss.  
§

BEFORE ME, the undersigned authority, on this 11th day of May, 1999, personally appeared **Mark S. Buhr** known to me to be the person whose name subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.



[Signature]  
Notary or Consular Officer

[SEAL]

Sole/Joint, Concurrent with Application

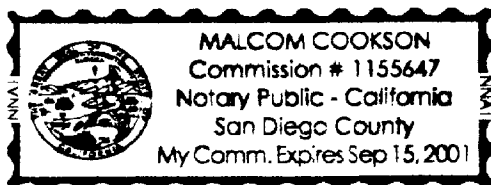
PATENT  
REEL: 009978 FRAME: 0645

(Signature): Adib G. Daoud  
Name: **Adib G. Daoud**

Date: 5/10/99

STATE OF California §  
COUNTY OF San Diego § ss.  
§

BEFORE ME, the undersigned authority, on this 10th day of May, 1999, personally appeared **Adib G. Daoud** known to me to be the person whose name subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.



Malcom Cookson  
Notary or Consular Officer

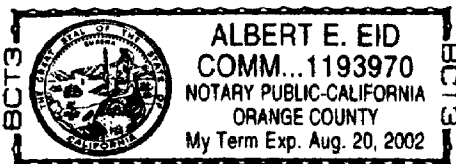
[SEAL]

(Signature): Derek J. Daw  
Name: **Derek J. Daw**

Date: 5/11/99

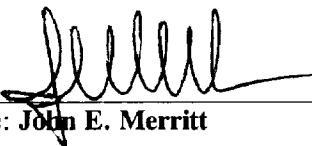
STATE OF C.A. §  
COUNTY OF Orange § ss.  
§

BEFORE ME, the undersigned authority, on this 11th day of May, 1999, personally appeared **Derek J. Daw** known to me to be the person whose name subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.



Albert E. Eid  
Notary or Consular Officer

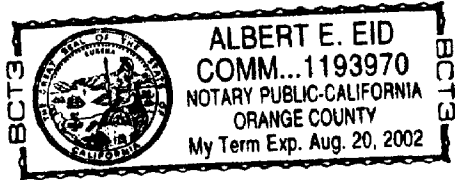
[SEAL]

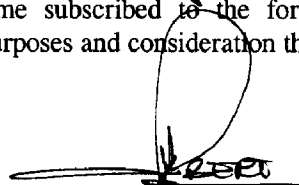
(Signature):   
Name: John E. Merritt

Date: 5-12-1999

STATE OF CALIFORNIA §  
COUNTY OF ORANGE § ss.  
§

BEFORE ME, the undersigned authority, on this 12<sup>th</sup> day of May, 1999, personally appeared **John E. Merritt** known to me to be the person whose name subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.





Notary or Consular Officer

[SEAL]