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FORM PTO-1619A  
Expires 06/30/99  
OMB 0651-0027U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**

101343736

APR 10 2003

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Document ID# \_\_\_\_\_
- ☐ Correction of PTO Error  
Reel # \_\_\_\_\_ Frame # \_\_\_\_\_
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**Conveyance Type**

- ☒ Assignment ☐ Security Agreement
- ☐ License ☐ Change of Name
- ☐ Merger ☐ Other \_\_\_\_\_

**U.S. Government**  
(For Use ONLY by U.S. Government Agencies)☐ Departmental File ☐ Secret File**Conveying Party(ies)**☒ Mark if additional names of conveying parties attachedName (line 1) Gillick, Matthew J.Execution Date  
Month Day Year  
03 08 2000

Name (line 2) \_\_\_\_\_

**Second Party**Name (line 1) Huter, Scott, J.Execution Date  
Month Day Year  
03 09 2000

Name (line 2) \_\_\_\_\_

**Receiving Party**☐ Mark if additional names of receiving parties attachedName (line 1) Advanced Cardiovascular Systems, Inc.

Name (line 2) \_\_\_\_\_

Address (line 1) 3200 Lakeside Drive

Address (line 2) \_\_\_\_\_

Address (line 3) Santa Clara

City

California U.S.A.

State/Country

95054-8167

Zip Code

☐ If document to be recorded  
is an assignment and the  
receiving party is not  
domiciled in the United  
States, an appointment  
of a domestic  
representative is attached.  
(Designation must be a  
separate document from  
Assignment.)**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name \_\_\_\_\_

Address (line 1) \_\_\_\_\_

Address (line 2) \_\_\_\_\_

Address (line 3) \_\_\_\_\_

Address (line 4) \_\_\_\_\_

04/28/2000 DNGUYEN 00000267 09475599

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**PATENT****REEL: 010736 FRAME: 0307**

RECORDATION FORM COVER SHEET  
CONTINUATION  
PATENTS ONLY

U.S. Department of Commerce  
Patent and Trademark Office  
PATENT

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) Stalker, Kent B.

Execution Date  
Month Day Year  
03 31 2000

Name (line 2)

Execution Date  
Month Day Year

Name (line 1) Ruter, Benjamin C.

03 10 2000

Name (line 2)

Execution Date  
Month Day Year

Name (line 1) Patel, Anuja

03 08 2000

Name (line 2)

Receiving Party(ies)

☐ Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)


PATENT  
REEL: 010736 FRAME: 0308

**Correspondent Name and Address**

Area Code and Telephone Number

310-824-5555

Name Howard N. Sommers, Esq.

Address (line 1) FULWIDER PATTON LEE & UTECHT, LLP

Address (line 2) 10877 Wilshire Boulevard, 10th Floor

Address (line 3) Los Angeles CA 90024 U.S.A.

Address (line 4)

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments.

# 10

**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

<u>09/475,599</u>					

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year  
          

**Patent Cooperation Treaty (PCT)**

Enter PCT application number

only if a U.S. Application Number has not been assigned.

PCT <u>          </u>	PCT <u>          </u>	PCT <u>          </u>
PCT <u>          </u>	PCT <u>          </u>	PCT <u>          </u>

**Number of Properties**

Enter the total number of properties involved.

# 1

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:

Enclosed ☒

Deposit Account ☐

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# 06-2425

Authorization to charge additional fees:

Yes ☐

No ☐

**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. Charges to deposit account are authorized, as indicated herein.*

Howard N. Sommers

Name of Person Signing

Howard N. Sommers

Signature

4/7/00

Date

**PATENT**  
**REEL: 010736 FRAME: 0309**

## ASSIGNMENT

This Assignment made by Matthew J. Gillick of Temecula, California, Scott J. Huter of Temecula California; Kent B. Stalker of San Marcos, California, Benjamin C. Huter of Murrieta, California; and Anuja Patel of San Jose, California, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-8167.

WHEREAS, Assignors have invented a new and useful EMBOLIC PROTECTION SYSTEM AND METHOD INCLUDING FILTERING ELEMENTS, for which an application for United States Letters Patent has been executed by them this day; and

WHEREAS, Assignors believe themselves to be the original, first and joint inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, Assignee desires to acquire by formal, recordable assignment the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including

**PATENT**  
**REEL: 010736 FRAME: 0310**

the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for said invention, whether on said application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment on the dates written hereinbelow.

Assignors:

Date: March 8, 2000

Matthew J. Gillick  
MATTHEW J. GILLICK

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
SCOTT J. HUTER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
KENT B. STALKER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
BENJAMIN C. HUTER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
ANUJA PATEL

## ASSIGNMENT

This Assignment made by Matthew J. Gillick of Temecula, California, Scott J. Huter of Temecula California; Kent B. Stalker of San Marcos, California, Benjamin C. Huter of Murrieta, California; and Anuja Patel of San Jose, California, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-8167.

WHEREAS, Assignors have invented a new and useful EMBOLIC PROTECTION SYSTEM AND METHOD INCLUDING FILTERING ELEMENTS, for which an application for United States Letters Patent has been executed by them this day; and

WHEREAS, Assignors believe themselves to be the original, first and joint inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, Assignee desires to acquire by formal, recordable assignment the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including

[159425.1]

Docket No. ACS 52019 (18371; 18321; 18401)

**PATENT**  
**REEL: 010736 FRAME: 0312**

the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

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IN WITNESS WHEREOF, Assignors have executed this Assignment on the dates written hereinbelow.

Assignors:

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
MATTHEW J. GILICK

Date: Mar 9, 2000

\_\_\_\_\_  
SCOTT J. HUTER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
KENT B. STALKER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
BENJAMIN C. HUTER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
ANUJA PATEL

## ASSIGNMENT

This Assignment made by Matthew J. Gillick of Temecula, California, Scott J. Huter of Temecula California; Kent B. Stalker of San Marcos, California, Benjamin C. Huter of Murrieta, California; and Anuja Patel of San Jose, California, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-8167.

WHEREAS, Assignors have invented a new and useful EMBOLIC PROTECTION SYSTEM AND METHOD INCLUDING FILTERING ELEMENTS, for which an application for United States Letters Patent has been executed by them this day; and

WHEREAS, Assignors believe themselves to be the original, first and joint inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, Assignee desires to acquire by formal, recordable assignment the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including

[159425.1]

Docket No. ACS 52019 (18371; 18521; 18401)

**PATENT**  
**REEL: 010736 FRAME: 0314**



the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for said invention, whether on said application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment on the dates written hereinbelow.

Assignors:

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
MATTHEW J. GILICK

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
SCOTT J. HUTER

Date: 3/31, 2000

Kent B. Stalker  
KENT B. STALKER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
BENJAMIN C. HUTER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
ANUJA PATEL

## ASSIGNMENT

This Assignment made by Matthew J. Gillick of Temecula, California, Scott J. Huter of Temecula California; Kent B. Stalker of San Marcos, California, Benjamin C. Huter of Murrieta, California; and Anuja Patel of San Jose, California, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-8167.

WHEREAS, Assignors have invented a new and useful EMBOLIC PROTECTION SYSTEM AND METHOD INCLUDING FILTERING ELEMENTS, for which an application for United States Letters Patent has been executed by them; and

WHEREAS, Assignors believe themselves to be the original, first and joint inventors of the invention disclosed and claimed in said U.S. Application Serial No. 09/475,599, filed December 30, 1999 for Letters Patent; and

WHEREAS, Assignee desires to acquire by formal, recordable assignment the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including

[159425.1]

Docket No. ACS 52019 (18371; 18521; 18401)

**PATENT**  
**REEL: 010736 FRAME: 0316**

the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

Assignors represent and warrant that they have not granted and will not grant to others any rights inconsistent with the rights granted herein.

Assignors authorize and request the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for said invention, whether on said application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in said invention.

IN WITNESS WHEREOF, Assignors have executed this Assignment on the dates written hereinbelow.

Assignors:

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
MATTHEW J. GILICK

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
SCOTT J. HUTER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
KENT B. STALKER

Date: 3/10, 2000

  
BENJAMIN C. HUTER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
ANUJA PATEL

# ASSIGNMENT

This Assignment made by Matthew J. Gillick of Temecula, California, Scott J. Huter of Temecula California; Kent B. Stalker of San Marcos, California, Benjamin C. Huter of Murrieta, California; and Anuja Patel of San Jose, California, Assignors, to ADVANCED CARDIOVASCULAR SYSTEMS, INC., a California corporation, Assignee, having a place of business at 3200 Lakeside Drive, Santa Clara, California 95054-8167.

WHEREAS, Assignors have invented a new and useful EMBOLIC PROTECTION SYSTEM AND METHOD INCLUDING FILTERING ELEMENTS, for which an application for United States Letters Patent has been executed by them this day; and

WHEREAS, Assignors believe themselves to be the original, first and joint inventors of the invention disclosed and claimed in said application for Letters Patent; and

WHEREAS, Assignee desires to acquire by formal, recordable assignment the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignors hereby sell, assign and transfer to Assignee, the entire right, title and interest in and to said invention, said application, and any Letters Patent that may be granted for said invention in the United States and throughout the world, including the right to file foreign applications directly in the name of the Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignors agree that, upon request and without further compensation, but at no expense to Assignors, they and their legal representative(s) and assigns will do all lawful acts, including

the execution of papers and the giving of testimony, that may be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for said invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to said invention, said application, and any Letters Patent granted for said invention in the United States and throughout the world.

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IN WITNESS WHEREOF, Assignors have executed this Assignment on the dates written hereinbelow.

Assignors:

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
MATTHEW J. GILLICK

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
SCOTT J. HUTER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
KENT B. STALKER

Date: \_\_\_\_\_, 2000

\_\_\_\_\_  
BENJAMIN C. HUTER

Date: 3/8, 2000

Anuja Patel  
ANUJA PATEL