

02-23-2001



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FORM PTO-1596
1-31-92

RECORDED

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Docket No.: 56221-016

PATENTS ONLY

To the Honorable Commissioner for Patents and Trademarks: Please record the attached original documents or copy thereto:

1. Name of Conveying Party(ies):

SMA Medical LLC

2.9.01

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

Name: SMA Medical, Inc.

Address: 4000 Barranca Parkway

Suite 250

Irvine, CA 92604

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

3. Nature of Conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐

Other

Execution Date: October 30, 2000

Additional name(s) & address(es) attached? ☐ Yes

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

If the document is being filed together with a new application, the execution date of the application

is:

A. Patent Application No(s).

B. Patent No(s).

5,466,242

Additional numbers attached? ☐ Yes5. Name and address of party to whom correspondence
concerning document should be mailed:

MCDERMOTT, WILL & EMERY

Name:

Internal Address:

Street Address: 600 13th Street, N.W.

City: Washington State: DC Zip: 20005

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) \$40.00

☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number:

500417

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.*

Stephen A. Becker, Reg. No. 26,527

Name and Registration No. of Person Signing

Signature

February 9, 2001

Date

Total number of pages comprising cover sheet: 1

CMB No. 0851-0011 (exp. 4/94)

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40.00 CH

PATENT
REEL: 011523 FRAME: 0271

EXHIBIT A**PATENT ASSIGNMENT**

WHEREAS, SMA Medical LLC, a California limited liability company having offices at 4000 Barranca Parkway, Suite 250, Irvine, California 92604 (hereinafter "ASSIGNOR"), desires to assign its entire right, title, and interest to the following issued Patents (hereinafter "the Patents"):

<u>United States Patent No.</u>	<u>Issue Date</u>	<u>Title</u>
a) 5,466,242	November 14, 1995	Shape Memory Alloy Stent for Biliary, Urinary, or Vascular System

<u>Japanese Patent Nos.</u>	<u>Issue Date</u>	<u>Title</u>
a) 9784	1994	Shape Memory Alloy Stent for Biliary, Urinary, or Vascular System
b) 21178	1992	Shape Memory Alloy Stent for Biliary, Urinary, or Vascular System

WHEREAS, SMA Medical, Inc., a Delaware corporation having offices at 4000 Barranca Parkway, Suite 250, Irvine, California 92604 (hereinafter "ASSIGNEE") desires to purchase the entire right, title, and interest in and to the Patents;

NOW, THEREFORE, in consideration of One Dollar (\$1.00) to ASSIGNOR, and other good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR hereby further acknowledges that it has sold, assigned, and transferred, and by these presents does hereby sell, assign, and transfer, unto ASSIGNEE, its successors, legal representatives, and assigns, the entire right, title, and interest in, to, and under the said Patents.

ASSIGNOR does hereby sell, assign, transfer, and convey to ASSIGNEE, its successors, legal representatives, and assigns all claims for damages and all remedies arising out of any violation of the rights assigned hereby that may have accrued prior to the date of assignment to ASSIGNEE, or may accrue hereafter, including, but not limited to, the right to sue for, collect, and retain damages for past infringements of the said issued Letters Patents.

[SIGNATURE PAGE FOLLOWS]

EXHIBIT A
PATENT ASSIGNMENT
 page 2

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 30 day of October, 2000.

SMA MEDICAL, LLC (Assignor)

By: Kouichi Itoh

Name Printed: Kouichi Itoh

Title: President / Manager

STATE OF CALIFORNIA

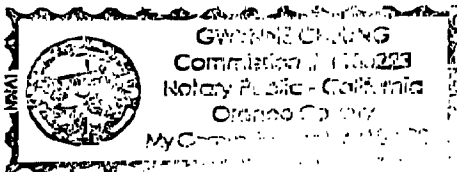
ss.

COUNTY OF ORANGE

On OCTOBER 30, 2000, before the undersigned, personally appeared KOUICHI ITOH personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity(ies), and that by his/her signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

[SEAL]



Gwynne Cheung
 Notary Signature

SMA MEDICAL, Inc. (Assignee)

By: Kouichi Itoh

Name Printed: Kouichi Itoh

Title: President

STATE OF CALIFORNIA

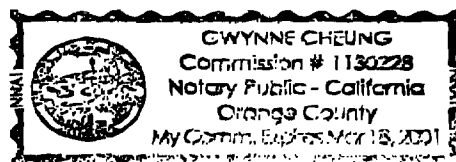
ss.

COUNTY OF ORANGE

On OCTOBER 30, 2000, before the undersigned, personally appeared KOUICHI ITOH personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity(ies), and that by his/her signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

[SEAL]



Gwynne Cheung
 Notary Signature

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 102600

SCHEDULE 1.2**A. Patents**

- 1) United States Patent No. 5,466,242
Title: "Shape Memory Alloy Stent for Biliary, Urinary, or Vascular System"
issued on November 14, 1995
inventor: Katsushi Mori
- 2) Japanese Patent No. 9784
Title: "Stent for Urinary or Vascular System"
issued in 1994
inventor: Katsushi Mori
- 3) Japanese Patent No. 21178
Title: "Stent for Urinary or Vascular System"
issued in 1992
inventor: Katsushi Mori

B. Trademark

- 1) SMA Medical (unregistered)

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SCHEDULE 8.1(g)

Pursuant to this section, other than Michael Freed and Frank Wilson, SMA Medical possesses non-disclosure agreements for all employees.

168/020497-0001
129714.01 10/27/00

TOTAL P.05

RECORDED: 02/09/2001

PATENT
REEL: 011523 FRAME: 0275