

5-10-01

05-16-2001

Docket No.: GUID021

FORM PTO-1595 (Modified)  
(Rev. 6-93)  
OMB No. 0651-0011 (exp. 4/94)  
Copyright 1996-97 LegalStar  
P08A/REV02



101719349

SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Y

Tab settings → → → ▼ ▼ ▼ ▼ ▼ ▼ ▼ ▼

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

1. Name of conveying party(ies):

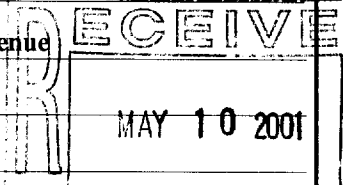
Paul, David J.                      Green, Harry L.  
Wallin, Joshua K.                Ino, Harry  
Reis, Eugene E.                  Taylor, Charles S  
Cantu, Alfredo R.

Additional names(s) of conveying party(ies)       Yes     No

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

Name: Cardiothoracic Systems, Inc.

Address: 10600 North Tantau Avenue



City: Cupertino

State/Prov.: California

Country: United States

ZIP: 95014-0739

Execution Date: 3/30/01, 3/28/01, 3/29/01, 3/26/01, 4/5/01 4/11/01

Additional name(s) & address(es)       Yes     No

4. Application number(s) or registration numbers(s):

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

Patent Application No.

Filing date

B. Patent No.(s)

(09/769,964)

January 24, 2001

Additional numbers

Yes     No

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

Name: Alan W. Cannon

Registration No. 34,977

Address: BOZICEVIC, FIELD & FRANCIS

200 Middlefield Road

Suite 200

City: Menlo Park

State/Prov.: California

Country: United States

ZIP: 94025

6. Total number of applications and patents involved: 1

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

Enclosed - Any excess or insufficiency should be credited or debited to deposit account

Authorized to be charged to deposit account

8. Deposit account number:

50-0815

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.

Alan W. Cannon

Name of Person Signing

Signature

May 7, 2001

Date

Total number of pages including cover sheet, attachments, and

9

PATENT

**ASSIGNMENT OF APPLICATION  
(JOINT)**

Address to:  
Box Assignment  
Commissioner for Patents  
Washington, D.C. 20231

Attorney Docket Number	GUID-021
First Named Inventor	David J. Paul, et al.
Application Number	09/769,964
Filing Date	January 24, 2001
Group Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Title Surgical Instruments for Stabilizing a Localized Portion of a Beating Heart	

THIS ASSIGNMENT, by David J. Paul, residing at 885 Cadillac Drive, Scotts Valley, California; Joshua K. Wallin, residing at 880 E. Fremont Avenue # 217, Sunnyvale, California; Eugene E. Reis, residing at San Jose, California; Alfredo R. Cantu, residing at Fremont, California; Harry L. Green, residing at Santa Cruz, California; Harry Ino, residing at San Jose, California and Charles S. Taylor, residing at San Francisco, California (hereinafter referred to as the assignors) and respectively, witnesseth:

WHEREAS, the said assignors have invented certain new and useful improvements in:

**SURGICAL INSTRUMENTS FOR STABILIZING A LOCALIZED PORTION OF A BEATING HEART**

  X   for which an application for a United States Patent was filed on January 24, 2001, Application No. 09/769,964

       For which an application for a United States Patent was executed on       , and


WHEREAS, CardioThoracic Systems, Inc., a corporation duly organized under and pursuant to the laws of Delaware, and having its principal place of business at 10600 North Tantau Avenue, Cupertino, California 95014 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said invention and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient considerations, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto the assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned invention, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations, and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and behalf and the use and behalf of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said invention and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said invention, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said invention in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said invention, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behalf of said assignee, its successors, legal representatives and assigns.

Date 3/30/01 Name of Inventor   
David J. Paul

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Joshua K. Wallin

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Eugene E. Reis

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Alfredo R. Cantu

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry L. Green

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry Ino

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Charles S. Taylor

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behalf of said assignee, its successors, legal representatives and assigns.

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
David J. Paul

Date 3/28/01 Name of Inventor Joshua Wallin  
Joshua K. Wallin

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Eugene E. Reis

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Alfredo R. Cantu

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry L. Green

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry Ino

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Charles S. Taylor

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behalf of said assignee, its successors, legal representatives and assigns.

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
David J. Paul

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Joshua K. Wallin

Date 3-27-01 Name of Inventor Eugene E. Reis  
Eugene E. Reis

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Alfredo R. Cantu

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry L. Green

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry Ino

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Charles S. Taylor

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behalf of said assignee, its successors, legal representatives and assigns.

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
David J. Paul

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Joshua K. Wallin

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Eugene E. Reis

Date 5 Feb 1909 Name of Inventor Alfredo R. Cantu  
Alfredo R. Cantu

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry L. Green

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry Ino

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Charles S. Taylor

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behalf of said assignee, its successors, legal representatives and assigns.

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
David J. Paul

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Joshua K. Wallin

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Eugene E. Reis

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Alfredo R. Cantu

Date 3/30/01 Name of Inventor Harry V. Green  
Harry V. Green

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry Ino

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Charles S. Taylor

F:\FORMS\Word 2k forms\Assign -(joint).doc

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behalf of said assignee, its successors, legal representatives and assigns.

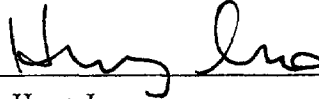
Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
David J. Paul

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Joshua K. Wallin

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Eugene E. Reis

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Alfredo R. Cantu

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry L. Green

Date 4/5/01 Name of Inventor   
Harry Ino

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Charles S. Taylor



AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behalf of said assignee, its successors, legal representatives and assigns.

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
David J. Paul

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Joshua K. Wallin

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Eugene E. Reis

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Alfredo R. Cantu

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry L. Green

Date \_\_\_\_\_ Name of Inventor \_\_\_\_\_  
Harry Ino

Date 4-11-01 Name of Inventor Charles S. Taylor  
Charles S. Taylor

F:\FORMS\Word 2k forms\Assign -(joint).doc