



9501

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

**Submission Type**

New

Resubmission (Non-Recordation)  
Document ID#

Correction of PTO Error  
Reel #  Frame #

Corrective Document  
Reel #  Frame #

**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 attached

| Execution Date |     |      |
|----------------|-----|------|
| Month          | Day | Year |
| 08             | 03  | 01   |

Name (line 1)

Name (line 2)

**Second Party**

| Execution Date |     |      |
|----------------|-----|------|
| Month          | Day | Year |
| 08             | 03  | 01   |

Name (line 1)

Name (line 2)

**Receiving Party**

Mark if additional names of receiving parties attached

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 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

**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)

08/17/2001 LMUELLER 00000021 09356120  
01 FC:581 40.00 OP

FOR OFFICE USE ONLY

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

**Correspondent Name and Address** Area Code and Telephone Number

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

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

**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)

|                                       |                      |                      |                      |                      |                      |                      |
|---------------------------------------|----------------------|----------------------|----------------------|----------------------|----------------------|----------------------|
| <input type="text" value="09356120"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/>                  | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/>                  | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

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 <input type="text"/> | PCT <input type="text"/> | PCT <input type="text"/> |
| PCT <input type="text"/> | PCT <input type="text"/> | PCT <input type="text"/> |

**Number of Properties** Enter the total number of properties involved. #

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

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: #

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.

Susan M. Luna-Patent Agent

August 6, 2001

Name of Person Signing

Signature

Date

RECORDATION FORM COVER SHEET  
CONTINUATION  
PATENTS ONLY

**Conveying Party(ies)**

Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1)

Execution Date  
Month Day Year

Name (line 2)

Execution Date  
Month Day Year

Name (line 1)

Name (line 2)

Execution Date  
Month Day Year

Name (line 1)

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)

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)

**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)

|                      |                      |                      |
|----------------------|----------------------|----------------------|
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |
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| <input type="text"/> | <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> | <input type="text"/> |

ASSIGNMENT

*Chen Jc.*

Whereas, Tofy Mussivand, Ji-Feng ~~Cheng~~, and Kevin Day (hereinafter "the Assignors"), whose full post office addresses are 2616 Mer Bleue Road, Navan, Ontario, Canada, K4B 1H9; 1217 Elbur Avenue Lakewood, Ohio, 44107, U.S.A.; and 2 Spur Avenue, Ottawa, Ontario, Canada, K2M 2B5, respectively, have made an invention which is the subject of a United States Patent Application 09/356,120 filed on July 16, 1999 and entitled *CONDUIT FOR A MECHANICAL CIRCULATORY DEVICE* (hereinafter "the Patent Application");

Whereas World Heart Corporation (hereinafter "the Assignee"), whose full post office address is 1 Laser Street, Nepean, Ontario, Canada, K2E 7V1, is desirous of acquiring the whole right, title and interest in and to the Patent Application, and the invention or inventions described therein;

Now therefore, in consideration of one dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the Assignors hereby sell, assign and transfer to the Assignee, all their right, title and interest, in the United States, Canada, and all other countries and jurisdictions throughout the world, in and to the Patent Application, and the invention or inventions described therein, and all divisions and continuations thereof, including their corresponding right to claim priority from the Patent Application in any country or jurisdiction, including all their corresponding right, title and interest in and to any Patents which may issue therefrom, including all reissues, renewals and extensions thereof, and including all right to sue for past infringement thereunder, all the said Patents to be held and enjoyed by the said Assignee to the full end of the term for which the said Patents are granted, as fully and entirely as the said Patents could have been held and enjoyed by the said Assignors if this Assignment had not been made;

And the Assignors hereby covenant and agree without further consideration, to communicate with Assignee, its successors and assigns, any facts known respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States, Canada, and all other

countries and jurisdictions throughout the world, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns;

And the Assignors hereby covenant that they have the full right to convey the interest assigned by this Assignment, and have not executed and will not execute any agreement in conflict with this Assignment;

And the Assignors and the Assignee hereby authorize the firm of Gowling Lafleur Henderson LLP, whose full post office address is 160 Elgin Street, Suite 2600, Ottawa, Ontario K1P 1C3, Canada, to correct errors in this Assignment, or to insert any further identification or other information necessary or desirable to make this Assignment suitable for recordal in any Patent Office.

SIGNED at OTTAWA, CANADA, this 03 day of AUGUST, 2001.  
(City/Town) (Country) (Date) (Month) (Year)

Jennifer Bean  
(Signature of Witness)

JENNIFER BEAN  
(Name of Witness: Please Print or Type)

Tofy Mussivand

T. Mussivand  
(Signature of Assignor)

SIGNED at \_\_\_\_\_, \_\_\_\_\_, this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
(City/Town) (Country) (Date) (Month) (Year)

\_\_\_\_\_  
(Signature of Witness)

\_\_\_\_\_  
(Name of Witness: Please Print or Type)

Ji-Feng Cheng

\_\_\_\_\_  
(Signature of Assignor)

SIGNED at \_\_\_\_\_, \_\_\_\_\_, this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.  
(City/Town) (Country) (Date) (Month) (Year)

\_\_\_\_\_  
(Signature of Witness)

Kevin Day

\_\_\_\_\_  
(Name of Witness: Please Print or Type)

\_\_\_\_\_  
(Signature of Assignor)

The undersigned Assignee hereby accepts this Assignment.

SIGNED at OTTAWA, CANADA, this 03 day of AUGUST, 2001  
(City/Town) (Country) (Date) (Month) (Year)

Jennifer Bean  
(Signature of Witness)

JENNIFER BEAN  
(Name of Witness: Please Print or Type)

~~World Heart Corporation~~  
T. Mussivand  
(Signature of Authorized Signing Officer)

TOFY MUSSIVAND  
(Name of Authorized Signing Officer: Please Print or Type)

CHAIRMAN + CHIEF SCIENTIFIC  
(Title of Authorized Signing Officer: Please Print or Type)  
OFFICER

countries and jurisdictions throughout the world, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns;

And the Assignors hereby covenant that they have the full right to convey the interest assigned by this Assignment, and have not executed and will not execute any agreement in conflict with this Assignment;

And the Assignors and the Assignee hereby authorize the firm of Gowling Lafleur Henderson LLP, whose full post office address is 160 Elgin Street, Suite 2600, Ottawa, Ontario K1P 1C3, Canada, to correct errors in this Assignment, or to insert any further identification or other information necessary or desirable to make this Assignment suitable for recordal in any Patent Office.

SIGNED at \_\_\_\_\_, \_\_\_\_\_, this \_\_\_\_\_ day of \_\_\_\_\_,  
(City/Town) (Country) (Date) (Month) (Year)

\_\_\_\_\_  
(Signature of Witness)

**Tofy Massivand**

\_\_\_\_\_  
(Name of Witness: Please Print or Type)

\_\_\_\_\_  
(Signature of Assignor)

SIGNED at \_\_\_\_\_, \_\_\_\_\_, this \_\_\_\_\_ day of \_\_\_\_\_,  
(City/Town) (Country) (Date) (Month) (Year)

\_\_\_\_\_  
(Signature of Witness)

**Ji-Feng Cheng**

\_\_\_\_\_  
(Name of Witness: Please Print or Type)

\_\_\_\_\_  
(Signature of Assignor)

SIGNED at Ottawa, Canada, this 1 day of August, 2001.  
(City/Town) (Country) (Date) (Month) (Year)

07/13/01 FRI 12:56 FAX 6137614478

OHIRC CVD

WHC

007

04-07-01 16:02 FROM-GOWLING

+613-563-9869

T-239 P.05/05 F-481

3/3

*K. Hoos*

(Signature of Witness)

*Kevin Hoos*

(Name of Witness: Please Print or Type)

Kevin Day

*Kevin Day*

(Signature of Assignor)

The undersigned Assignee hereby accepts this Assignment.

SIGNED at OTTAWA CANADA this 03 day of AUGUST 2001  
(City/Town) (Country) (Date) (Month) (Year)

*Jennifer Bean*

(Signature of Witness)

JENNIFER BEAN

(Name of Witness: Please Print or Type)

World Heart Corporation

*T. Mussivand*

(Signature of Authorized Signing Officer)

TOBY MUSSIVAND

(Name of Authorized Signing Officer: Please Print or Type)

CHAIRMAN + CHIEF SCIENTIFIC OFFICER

(Title of Authorized Signing Officer: Please Print or Type)



countries and jurisdictions throughout the world, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns;

And the Assignors hereby covenant that they have the full right to convey the interest assigned by this Assignment, and have not executed and will not execute any agreement in conflict with this Assignment;

And the Assignors and the Assignee hereby authorize the firm of Gowling Lafleur Henderson LLP, whose full post office address is 160 Elgin Street, Suite 2600, Ottawa, Ontario K1P 1C3, Canada, to correct errors in this Assignment, or to insert any further identification or other information necessary or desirable to make this Assignment suitable for recordal in any Patent Office.

SIGNED at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_  
(City/Town) (Country) (Date) (Month) (Year)

\_\_\_\_\_  
(Signature of Witness)

Tofy Mussivand

\_\_\_\_\_  
(Name of Witness: Please Print or Type)

\_\_\_\_\_  
(Signature of Assignor)

SIGNED at Cleveland, USA this 20 day of July, 2001.  
(City/Town) (Country) (Date) (Month) (Year)

Christine Kassuba  
(Signature of Witness)

Ji-Feng ~~Chen~~ Chen *FC 20 July 2001*

CHRISTINE KASSUBA  
(Name of Witness: Please Print or Type)

Ji-Feng Chen  
(Signature of Assignor)

SIGNED at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_  
(City/Town) (Country) (Date) (Month) (Year)

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**40.00**

**Complete if Known**

|                      |                |
|----------------------|----------------|
| Application Number   | 09/356,120     |
| Filing Date          | July 16, 1999  |
| First Named Inventor | Tofy Mussivand |
| Examiner Name        | S. Getzow      |
| Group Art Unit       | 3762           |
| Attorney Docket No.  | GOW 0066 PA    |

**METHOD OF PAYMENT**

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- Applicant claims small entity status. See 37 CFR 1.27

2.  **Payment Enclosed:**

- Check
- Credit card
- Money Order
- Other

**FEE CALCULATION**

**1. BASIC FILING FEE**

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description        | Fee Paid             |
|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|----------------------|
| 101                   | 710                   | 201                   | 355                   | Utility filing fee     | <input type="text"/> |
| 106                   | 320                   | 206                   | 160                   | Design filing fee      | <input type="text"/> |
| 107                   | 490                   | 207                   | 245                   | Plant filing fee       | <input type="text"/> |
| 108                   | 710                   | 208                   | 355                   | Reissue filing fee     | <input type="text"/> |
| 114                   | 150                   | 214                   | 75                    | Provisional filing fee | <input type="text"/> |
| <b>SUBTOTAL (1)</b>   |                       |                       |                       |                        | <b>(\$) -0-</b>      |

**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims                 | Fee from below         | Fee Paid               |
|--------------------|------------------------------|------------------------|------------------------|
| Independent Claims | -20** = <input type="text"/> | X <input type="text"/> | = <input type="text"/> |
| Multiple Dependent | -3** = <input type="text"/>  | X <input type="text"/> | = <input type="text"/> |

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid             |
|-----------------------|-----------------------|-----------------------|-----------------------|--|----------------------|
| 103                   | 18                    | 203                   | 9                     | Claims in excess of 20                                     | <input type="text"/> |
| 102                   | 80                    | 202                   | 40                    | Independent claims in excess of 3                          | <input type="text"/> |
| 104                   | 270                   | 204                   | 135                   | Multiple dependent claim, if not paid                      | <input type="text"/> |
| 109                   | 80                    | 209                   | 40                    | ** Reissue independent claims over original patent         | <input type="text"/> |
| 110                   | 18                    | 210                   | 9                     | ** Reissue claims in excess of 20 and over original patent | <input type="text"/> |
| <b>SUBTOTAL (2)</b>   |                       |                       |                       |  | <b>(\$) -0-</b>      |

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)**

**3. ADDITIONAL FEES**

| Fee Code                  | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid             |
|---------------------------|-----------------------|-----------------------|-----------------------|--|----------------------|
| 105                       | 130                   | 205                   | 65                    | Surcharge - late filing fee or oath  | <input type="text"/> |
| 127                       | 50                    | 227                   | 25                    | Surcharge - late provisional filing fee or cover sheet                     | <input type="text"/> |
| 139                       | 130                   | 139                   | 130                   | Non-English specification  | <input type="text"/> |
| 147                       | 2,520                 | 147                   | 2,520                 | For filing a request for <i>ex parte</i> reexamination                     | <input type="text"/> |
| 112                       | 920*                  | 112                   | 920*                  | Requesting publication of SIR prior to Examiner action                     | <input type="text"/> |
| 113                       | 1,840*                | 113                   | 1,840*                | Requesting publication of SIR after Examiner action                        | <input type="text"/> |
| 115                       | 110                   | 215                   | 55                    | Extension for reply within first month                                     | <input type="text"/> |
| 116                       | 390                   | 216                   | 195                   | Extension for reply within second month                                    | <input type="text"/> |
| 117                       | 890                   | 217                   | 445                   | Extension for reply within third month                                     | <input type="text"/> |
| 118                       | 1,390                 | 218                   | 695                   | Extension for reply within fourth month                                    | <input type="text"/> |
| 128                       | 1,890                 | 228                   | 945                   | Extension for reply within fifth month                                     | <input type="text"/> |
| 119                       | 310                   | 219                   | 155                   | Notice of Appeal   | <input type="text"/> |
| 120                       | 310                   | 220                   | 155                   | Filing a brief in support of an appeal                                     | <input type="text"/> |
| 121                       | 270                   | 221                   | 135                   | Request for oral hearing   | <input type="text"/> |
| 138                       | 1,510                 | 138                   | 1,510                 | Petition to institute a public use proceeding                              | <input type="text"/> |
| 140                       | 110                   | 240                   | 55                    | Petition to revive - unavoidable   | <input type="text"/> |
| 141                       | 1,240                 | 241                   | 620                   | Petition to revive - unintentional   | <input type="text"/> |
| 142                       | 1,240                 | 242                   | 620                   | Utility issue fee (or reissue)   | <input type="text"/> |
| 143                       | 440                   | 243                   | 220                   | Design issue fee   | <input type="text"/> |
| 144                       | 600                   | 244                   | 300                   | Plant issue fee  | <input type="text"/> |
| 122                       | 130                   | 122                   | 130                   | Petitions to the Commissioner  | <input type="text"/> |
| 123                       | 50                    | 123                   | 50                    | Processing fee under 37 CFR 1.17(q)  | <input type="text"/> |
| 126                       | 180                   | 126                   | 180                   | Submission of Information Disclosure Stmt                                  | <input type="text"/> |
| 581                       | 40                    | 581                   | 40                    | Recording each patent assignment per property (times number of properties) | 40.00                |
| 146                       | 710                   | 246                   | 355                   | Filing a submission after final rejection (37 CFR § 1.129(a))              | <input type="text"/> |
| 149                       | 710                   | 249                   | 355                   | For each additional invention to be examined (37 CFR § 1.129(b))           | <input type="text"/> |
| 179                       | 710                   | 279                   | 355                   | Request for Continued Examination (RCE)                                    | <input type="text"/> |
| 169                       | 900                   | 169                   | 900                   | Request for expedited examination of a design application                  | <input type="text"/> |
| Other fee (specify) _____ |                       |                       |                       |  | <input type="text"/> |
| <b>SUBTOTAL (3)</b>       |                       |                       |                       |  | <b>(\$) 40.00</b>    |

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY**

|                   |                              |                                   |                |           |                |
|-------------------|------------------------------|-----------------------------------|----------------|-----------|----------------|
| Name (Print/Type) | Susan M. Luna - Patent Agent | Registration No. (Attorney/Agent) | 38,769         | Telephone | (937) 223-2050 |
| Signature         | <i>Susan M. Luna</i>         | Date                              | August 6, 2001 |           |                |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

# COPY

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Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**40.00****Complete if Known**

|                      |                |
|----------------------|----------------|
| Application Number   | 09/356,120     |
| Filing Date          | July 16, 1999  |
| First Named Inventor | Tofy Mussivand |
| Examiner Name        | S. Getzow      |
| Group Art Unit       | 3762           |
| Attorney Docket No.  | GOW 0066 PA    |

**METHOD OF PAYMENT**1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

|                        |  |
|------------------------|--|
| Deposit Account Number |  |
| Deposit Account Name   |  |

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- Applicant claims small entity status. See 37 CFR 1.27

2.  **Payment Enclosed:**

Check  Credit card  Money Order  Other

**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 710                    | 201 355                    | Utility filing fee     |          |
| 106 320                    | 206 160                    | Design filing fee      |          |
| 107 490                    | 207 245                    | Plant filing fee       |          |
| 108 710                    | 208 355                    | Reissue filing fee     |          |
| 114 150                    | 214 75                     | Provisional filing fee |          |

SUBTOTAL (1) (\$)**-0-****2. EXTRA CLAIM FEES**

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------|----------------|----------|
|              | -20** =      | X              | =        |
|              | -3** =       | X              | =        |
|              |              |                |          |

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 103 18                     | 203 9                      | Claims in excess of 20                                     |          |
| 102 80                     | 202 40                     | Independent claims in excess of 3                          |          |
| 104 270                    | 204 135                    | Multiple dependent claim, if not paid                      |          |
| 109 80                     | 209 40                     | ** Reissue independent claims over original patent         |          |
| 110 18                     | 210 9                      | ** Reissue claims in excess of 20 and over original patent |          |

SUBTOTAL (2) (\$)**-0-**

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Fee Code   | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105 130    | 205 65                |                       |                       | Surcharge - late filing fee or oath  |          |
| 127 50     | 227 25                |                       |                       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139 130    | 139 130               |                       |                       | Non-English specification  |          |
| 147 2,520  | 147 2,520             |                       |                       | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112 920*   | 112 920*              |                       |                       | Requesting publication of SIR prior to Examiner action                     |          |
| 113 1,840* | 113 1,840*            |                       |                       | Requesting publication of SIR after Examiner action                        |          |
| 115 110    | 215 55                |                       |                       | Extension for reply within first month                                     |          |
| 116 390    | 216 195               |                       |                       | Extension for reply within second month                                    |          |
| 117 890    | 217 445               |                       |                       | Extension for reply within third month                                     |          |
| 118 1,390  | 218 695               |                       |                       | Extension for reply within fourth month                                    |          |
| 128 1,890  | 228 945               |                       |                       | Extension for reply within fifth month                                     |          |
| 119 310    | 219 155               |                       |                       | Notice of Appeal   |          |
| 120 310    | 220 155               |                       |                       | Filing a brief in support of an appeal                                     |          |
| 121 270    | 221 135               |                       |                       | Request for oral hearing   |          |
| 138 1,510  | 138 1,510             |                       |                       | Petition to institute a public use proceeding                              |          |
| 140 110    | 240 55                |                       |                       | Petition to revive - unavoidable   |          |
| 141 1,240  | 241 620               |                       |                       | Petition to revive - unintentional   |          |
| 142 1,240  | 242 620               |                       |                       | Utility issue fee (or reissue)   |          |
| 143 440    | 243 220               |                       |                       | Design issue fee   |          |
| 144 600    | 244 300               |                       |                       | Plant issue fee  |          |
| 122 130    | 122 130               |                       |                       | Petitions to the Commissioner  |          |
| 123 50     | 123 50                |                       |                       | Processing fee under 37 CFR 1.17(q)  |          |
| 126 180    | 126 180               |                       |                       | Submission of Information Disclosure Stmt                                  |          |
| 581 40     | 581 40                |                       |                       | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146 710    | 246 355               |                       |                       | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149 710    | 249 355               |                       |                       | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179 710    | 279 355               |                       |                       | Request for Continued Examination (RCE)                                    |          |
| 169 900    | 169 900               |                       |                       | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_  
\*Reduced by Basic Filing Fee Paid  
SUBTOTAL (3) (\$)**40.00****SUBMITTED BY**

|                   |                              |                                   |                |           |                |
|-------------------|------------------------------|-----------------------------------|----------------|-----------|----------------|
| Name (Print/Type) | Susan M. Luna - Patent Agent | Registration No. (Attorney/Agent) | 38,769         | Telephone | (937) 223-2050 |
| Signature         | <i>Susan M. Luna</i>         | Date                              | August 6, 2001 |           |                |

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