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101919705

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

1. Name of conveying party(ies):

Clifton A. Alferness
John M. Adams
Mark L. Mathis
David G. Reuter

12/5/01

2. Name and address of receiving party(ies)

Name: Cardiac Dimensions, Inc.

Internal Address:

Additional name of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Street Address:

4030 Lake Washington Blvd. NE, Suite 305

City: Kirkland State: WA Zip: 98033

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

Execution Date: December 5, 2001

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

If this document is being filed together with a new application, the execution date of the application is: December 5, 2001

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

10/011867

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

Name: Graybeal Jackson Haley LLP

Internal Address: Richard O. Gray, Jr.

Street Address:

155 108th Avenue N.E., Suite 350

City: Bellevue State: WA Zip: 98004-5901

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:

07-1897 (deficiencies)

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

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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.

Richard O. Gray, Jr.
Name of Person Signing

Richard O. Gray, Jr.
Signature

December 5, 2001
Date

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

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

12/19/2001 GTON11 00000050 10011867

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PATENT
REEL: 012373 FRAME: 0216

ASSIGNMENT OF U.S. AND FOREIGN RIGHTS IN INVENTION

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One United States Dollar (\$1.00) or its equivalent, the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNOR Clifton A. Alferness, residing or having a principal place of business at 9010 - 258th Avenue Northeast, Redmond, Washington 98053, and a citizen or juristic entity of the United States,

ASSIGNOR John M. Adams, residing or having a principal place of business at 20621 Southeast 34th Street, Sammamish, Washington 98075, and a citizen or juristic entity of the United States,

ASSIGNOR Mark L. Mathis residing or having a principal place of business at 10624 NE 60th Street, Kirkland, Washington 98033, and a citizen or juristic entity of the United States,

ASSIGNOR David G. Reuter residing or having a principal place of business at 3225 208th Place SE, Bothell, Washington 98021, and a citizen or juristic entity of the United States,

hereby sell, assign, and transfer to:

ASSIGNEE Cardiac Dimensions, Inc., residing or having a principal place of business at 4030 Lake Washington Blvd. NE, Suite 305, Kirkland, Washington 98033, and a citizen or juristic entity of the state of Washington, and the successors, assigns, and legal representatives of the ASSIGNEE, the entire right, title, and interest in the United States and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled ANCHOR AND PULL MITRAL VALVE DEVICE AND METHOD and which is found in United States patent application serial number _____, filed on _____ (if not present when this instrument is executed, applicant's attorney or agent is authorized to enter the application serial number and filing date upon receipt of the same from the United States Patent and Trademark Office), and in and to all Letters Patent to be obtained from said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to Letters Patent from any reissue or re-examination thereof.

ASSIGNORS hereby covenant that no assignment, sale, agreement, or encumbrance has been or will be made or entered into which would conflict with this assignment.

ASSIGNORS further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts, documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference, litigation, or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue, and enforce said application, said invention, and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purpose thereof.

ASSIGNORS:

Name: Clifton A. Alferness

Signature: 

Title (if applicable): _____

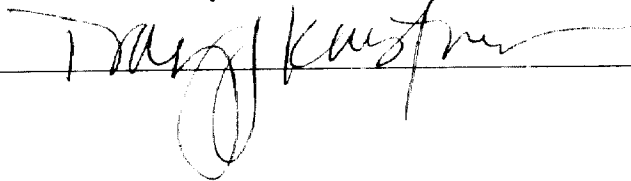
EXECUTED ON, and effective from this 5th day of December, 2001
at Kirkland, Washington

I hereby declare that I was personally present and did see the ASSIGNOR, who is personally known to me to be a person named in the assignment, duly sign and execute the same on this 5th day of December, 2001 of his own free will for the purpose therein expressed at the following location: _____

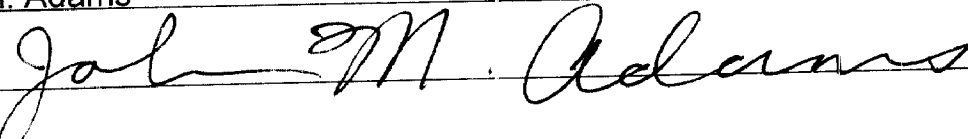
Kirkland, Washington

WITNESS

Name: TRACY J. KAESTNER

Signature: 

Name: John M. Adams

Signature: 

Title (if applicable): _____

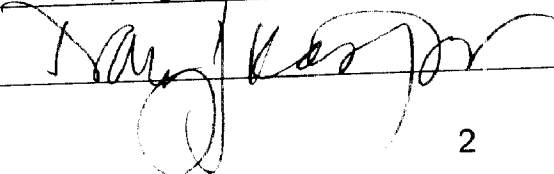
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I hereby declare that I was personally present and did see the ASSIGNOR, who is personally known to me to be a person named in the assignment, duly sign and execute the same on this 5th day of December, 2001 of his own free will for the purpose therein expressed at the following location: _____

Kirkland, Washington

WITNESS

Name: TRACY J. KAESTNER

Signature: 

Name: Mark L. Mathis

Signature: Mark L. Mathis

Title (if applicable): _____

EXECUTED ON, and effective from this 5th day of December, 2001
at Kirkland, Washington

I hereby declare that I was personally present and did see the ASSIGNOR, who is personally known to me to be a person named in the assignment, duly sign and execute the same on this 5th day of December, 2001 of his own free will for the purpose therein expressed at the following location: _____

Kirkland, Washington

WITNESS

Name: Tracy J. Kaestner

Signature: Tracy J. Kaestner

Name: David G. Reuter

Signature: David G. Reuter

Title (if applicable): _____

EXECUTED ON, and effective from this 5th day of December, 2001
at Kirkland, Washington

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Kirkland, Washington

WITNESS

Name: Tracy J. Kaestner

Signature: Tracy J. Kaestner
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