

04-03-2003



ocket No.: IMPEL.62129

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(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

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PATENTS ONLY

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

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

1. Name of conveying party(ies):

Thorsten Siess

2. Name and address of receiving party(ies)

Name: IMPELLA CARDIOTECHNIK AG

Internal Address: _____

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

3. Nature of conveyance:

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

Street Address: NEUENHOFER WEG

AACHEN, 52074, FED REP GERMANY

City: _____ State: _____ Zip: _____

Execution Date: MAY 7, 2002

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

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: _____

A. Patent Application No.(s)

10/240,158

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☐ No

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

Name: Gunther Hanke, Esq.

Internal Address: FULWIDER PATTON LEE &

UTECHT, LLP

Street Address: 200 Oceangate, Suite 1550

City: Long Beach State: CA Zip: 90802

6. Total number of applications and patents involved: 1

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

- ☐ Enclosed
- ☒ Authorized to be charged to deposit account

8. Deposit account number:

21-0800

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

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.

Gunther Hanke

Name of Person Signing

Signature

3/26/2003

Date

9

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

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents & Trademarks, Box Assignments

Washington, D.C. 20231

PATENT

REEL: 013902 FRAME: 0734

10/240158
DT12 Rec'd PCT/PTO 27 SEP 2002

A/5 581-40

Practitioner's Docket No. IMPEL.62129

CHAPTER II

9-27-02

Box PCT
Commissioner for Patents
Washington, D.C. 20231
ATTENTION: EO/US

IN THE UNITED STATES ELECTED OFFICE (EO/US)

02-03-2003



102351398

COVER SHEET FOR ASSIGNMENT
IN THE UNITED STATES ELECTED OFFICE (EO/US)
FOR INTERNATIONAL APPLICATION ENTERING NATIONAL STAGE
IN U.S. DESIGNATED OFFICE (DO/US) UNDER 35 U.S.C. § 371

IDENTIFICATION OF APPLICATION
(37 C.F.R. § 3.21 and 37 C.F.R. § 3.31(a)(4))

1. The patent application filed herewith, and to which the attached assignment (document) refers, is identified as follows:
 - a. Date of execution: 27 September 2002
 - b. Name of each inventor: 1: Siess, Thorsten
 - c. Title of invention: PARACARDIAL BLOOD PUMP

NAME OF PARTY(IES) CONVEYING INTEREST
(37 C.F.R. § 3.31(a)(1))

2. The party conveying this interest is:

Siess, Thorsten

10/02/2002 LLANDGRA 00000061 10240158

02 FC:581

40.00 OP

4UE

EXPRESS MAILING UNDER 37 C.F.R. § 1.10*

(Express Mail label number is *mandatory*.)
(Express Mail certification is *optional*.)

I hereby certify that this paper, along with any document referred to, is being deposited with the United States Postal Service on this date September 27, 2002, in an envelope addressed to the Commissioner for Patents, Washington D.C. 20231 as "Express Mail Post Office to Addressee" Mailing Label No. EL921573233US.

Karen Earl

Type or print name of person mailing paper

Date: September 27, 2002

Karen Earl
Signature of person certifying

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

***WARNING:** Each paper or fee filed by "Express Mail" *must* have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will *not* be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

Cover Sheet for Assignment In the United States Elected Office (EO/US) for International Application
Entering National Stage under 35 U.S. C. § 371—page 1 of 3

PATENT
REEL: 013902 FRAME: 0735

Practitioner's Docket No. IMPEL.62129

CHAPTER II

NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST
(37 C.F.R. § 3.31(a)(2))

3. The rights are being conveyed to:

Name: Impella Cariotechnik AG
Address: Neuenhofer Weg 3
Aachen, 52074 Germany
Telephone No.: 49-241-88600

DESCRIPTION OF INTEREST CONVEYED OR TRANSACTION RECORDED
(37 C.F.R. § 3.31(a)(3))

4. The accompanying document intends to accomplish an assignment.

**NAME AND ADDRESS OF PARTY TO WHOM CORRESPONDENCE
SHOULD BE MAILED** (37 C.F.R. § 3.31(a)(5))

5. Please address correspondence to:

Name: Gunther Hanke, Esq.
FULWIDER PATTON LEE & UTECHT

Address: 200 Oceangate, Suite 1550
Long Beach, CA 90802

Telephone No.: (562) 432-0453

DATE ASSIGNMENT (DOCUMENT) EXECUTED (37 C.F.R. § 3.31(a)(7))

6. The attached assignment (document) was executed on 7 May 2002.

LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED

7. The attached document is in English.

ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

8. Submitted herewith is the original assignment.

Practitioner's Docket No. IMPEL.62129

CHAPTER II

**NUMBER OF APPLICATIONS IDENTIFIED IN THIS COVER SHEET
AND THE FEE (37 C.F.R. § 3.31(a)(6))**

9. A. This cover sheet identifies only one application.
B. The fee for recordal (37 CFR 1.21(h)) is \$40.00.

Attached is a check in the amount of \$40.00.

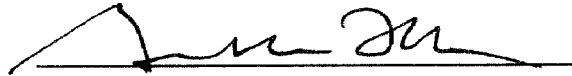
Charge any additional fees required by this paper or credit any overpayment in the manner authorized above.

A duplicate of this paper is attached.

STATEMENT (37 C.F.R. § 3.31(a)(9)) AND SIGNATURE (37 C.F.R. § 3.31(a)(10))

10. 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.

Date: 9/27/02



Gunther Hanke
Registration No. 32,989
Fulwider Patton Lee & Utecht
200 Oceangate, Suite 1550
Long Beach, CA 90802
562-432-0453
Customer No. 27629

TOTAL NUMBER OF PAGES BEING SUBMITTED

11. The total number of pages being submitted, including cover sheet attachment(s), and documents are
4.

ASSIGNMENT

In consideration of One Dollar (\$ 1.00) in hand paid and other good and valuable considerations, the receipt of which is hereby acknowledged, the undersigned [hereinafter (collectively) named "Assignor"] hereby assigns and transfers to

Name of Assignee:
Place of Assignee's
Incorporation:

Impella Cardiotechnik AG
Neuenhofer Weg 3, 52074 Aachen, Germany

A German corporation (hereinafter named "Assignee"), its successors, legal representatives, and assigns the entire undivided right, title and interest in and to Assignor's invention and Assignor's application for Letters Patent of the United States, executed concurrently herewith unless otherwise indicated herein, entitled

Title of Application:

Paracardiac Blood Pump

(Priority: DE 100 16 422.6)

and to Assignor's entire right, title and interest in any and all inventions, whether joint or sole, disclosed in said application for Letters Patent, and in any and all divisional or continuation or renewal applications that may be filed for United States Letters Patent for any and all of said inventions, and in and to any and all patents that may be granted on the foregoing applications and any reissue or extension thereof, and in any and all improvements thereon or relating thereto which the Assignor has invented or may hereafter invent.

The Assignor hereby authorizes and requests the Commissioner of Patents to issue any and all of said Letters Patent to said Assignee.

For said consideration, the Assignor hereby agrees upon the request of said Assignee, its successors, legal representatives or assigns, to execute any and all United States divisional, continuation and renewal applications for said invention or improvements, and any and all necessary oaths, supplemental oaths or declarations or supplemental declarations or affidavit relating thereto, and any application for the reissue or extension of any United States Letters Patent that may be granted upon said application that said Assignee, its successors, legal representatives or assigns may deem necessary or expedient.

For the said consideration the Assignor further agrees upon the request of said Assignee, its successors, legal representatives or assigns, in the event of said application or any division thereof, or Letters Patent issued thereon or any reissue or application for the reissue thereof, becoming involved in interference, to cooperate to the best of the ability of the Assignor with said Assignee, its successors, legal representatives or assigns in the matters of preparing and executing the Preliminary Statement and giving and producing evidence in support thereof, the Assignor hereby agreeing to perform upon such request, any and all affirmative acts necessary to obtain said Letters Patent and vest all rights therein hereby conveyed in said Assignee, its successors, legal representatives or assigns as fully and entirely as the same would have been held and enjoyed by the Assignor if this assignment and sale had not been made.

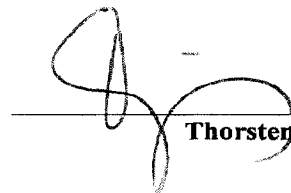
Assignor hereby binds himself, his heirs, legal representatives, administrators, and assigns properly to execute without further consideration, any and all applications, petitions, oaths, assignments or other papers and instruments which may be necessary in order to carry into full force and effect the sale, assignment and transfer hereby made, or intended or agreed to be made.

Note:
This paragraph to be
crossed out if not
applicable

And for said consideration, the Assignor hereby assigns to said Assignee, its successors, legal representatives and assigns, the entire right, title and interest in said invention or improvement for any and all foreign countries and agrees upon the request of said Assignee, its successors, legal representatives or assigns to execute any and all documents that shall be required of the Assignor to be executed in connection with any and all applications for foreign Letters Patent therefor, including the prosecution thereof, and to execute any and all documents necessary to invest title in said foreign applications and patents in said Assignee, its successors, legal representatives or assigns.

Witness, the hand and seal of the Assignor,

this 7 day of May 2002



Thorsten SIESS