

07-08-2004



102785383

Form PTO-1595 (Rev. 10/02) OMB No. 0651-0027 (exp. 6/30/2005) Tab settings

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

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

1. Name of conveying party(ies):

Robert S. Schwartz, M.D. Robert A. Van Tassel, M.D.

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

2. Name and address of receiving party(ies)

Name: TriCardia LLC

Internal Address:

Street Address: 6420 Bayview Place

City: Excelsior State: MN Zip: 55331

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

3. Nature of conveyance:

- Assignment Merger Security Agreement Change of Name Other

Execution Date: 03-29-2004

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) 10/754,790

B. Patent No.(s)

Additional numbers attached? Yes No

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

Name: Sheldon K. Lee

Internal Address:

Street Address: 2401 Fourth Avenue

Suite 200

City: Seattle State: WA Zip: 98121

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:

OPR/FINANCE JUN -6 AM 7:17

DO NOT USE THIS SPACE

9. Signature.

Sheldon K. Lee (REG NO. 53,197) Name of Person Signing

Signature

6/30/04 Date

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

07/07/2004 MGETACHE 00000028 10754790

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

01 FC:8021

40.00 DP

PATENT REEL: 015532 FRAME: 0497

EXHIBIT A

SERIAL NUMBER/APPLICATION NUMBER/PATENT NUMBER	FILING DATE/REG. DATE	ENTITLED
10/754,790	01/08/2003	<i>Transseptal Closure Of A Patent Foramen Ovale And Other Cardiac Defects</i>
60/474,055	05/28/2003	<i>Atrial Transseptal Access Technology</i>
60/477,760	02/13/2003	<i>PFO and ASD Closure Via Tissue Welding</i>
Invention Disclosure	10/18/2003	<i>PFO Closure Addendum: Angled Electrodes, Out of Plane to Permit Sealing Through The Trans-PFO Approach</i>
Invention Disclosure	03/09/2003	<i>Atrial Septal Aneurysm Contraction/Limitation</i>

ASSIGNMENT

WHEREAS, we, Robert S. Schwartz, M.D. and Robert A. Van Tassel, M.D. the ASSIGNORS herein, have invented certain new and useful inventions disclosed in the materials identified in the attached Exhibit A; and

WHEREAS, TriCardia LLC., a corporation organized and existing under the laws of the State of Minnesota, having a place of business at, 6420 Bayview Place, Excelsior, Minnesota, 55331, the ASSIGNEE herein, desires to acquire the entire right, title and interest in and to said inventions as well as any related patent applications and Letters Patent to be granted and issued thereon;

NOW, THEREFORE, for and in consideration of the sum of One Dollar (\$1.00) by the ASSIGNEE to me paid, and other valuable consideration, the receipt and legal sufficiency all of which is hereby acknowledged, we, the said ASSIGNORS, have sold and do hereby sell, assign, transfer and set over unto said ASSIGNEE, its successors and assigns, the entire right, title and interest in and to said inventions listed on Exhibit A, in and to any application for Letters Patent thereon, including divisional and continuing applications, and in and to any and all Letters Patent which may be granted and issued on said inventions and applications, or any of them, not only for, to and in the United States of America, its territories and possessions, but for, to and in all countries foreign thereto, together with and including all priority rights based upon any and all applications in the United States of America covered by this Assignment.

And for the above-named considerations, we do hereby agree that we will, at the request of said ASSIGNEE, execute any and all applications for Letters Patent for said inventions and any and all other papers and documents and do all other and further lawful acts that said ASSIGNEE may deem necessary or desirable to obtain Letters Patent on said inventions, to secure the grant of such Letters Patent and to perfect and vest in the ASSIGNEE the entire right, title and interest in the inventions, applications and Letters Patent.

And for the above-named considerations, we do hereby authorize and empower the ASSIGNEE, its successors and assigns, to apply for and obtain, in its or their own names, Letters Patent for the said inventions before competent International Authorities and in any and all countries foreign to the United States in which applications for Letters Patent can be so made or Letters Patent so obtained.

