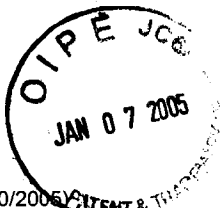


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01-18-2005



FORM PTO-1595 (Rev. 06/04)

OMB No. 0651-0027 (exp. 6/30/2006)

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

RECO

102921399

PATENTS ONE

To the Director of the U.S. Patents and Trademark Office: Please record the attached documents or the new address(es) below.

**1. Name of conveying party(ies)/Execution Date(s):**

Lucas S. Gordon, Mark L. Mathis, Gregory Nieminen,  
Leonard Kowalsky, Ryan H. Braxtan, Brian J. Doll

Execution Date(s) 11/30/04; 12/01/04, 12/09/04, 12/26/04

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

**3. Nature of conveyance:**

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Government Interest Assignment  
☐ Executive Order 9424, Confirmatory License  
Other \_\_\_\_\_

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

Name: Cardiac Dimensions, Inc.

Internal Address: \_\_\_\_\_

Street Address: 5540 Lake Washington Blvd.

City: Kirkland,

State: Washington

Country USA Zip 98033

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

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

☐ This document is being filed together with a new application.

A. Patent Application No.(s) 10/946,332

B. Patent No.(s): \_\_\_\_\_

Additional numbers attached? ☐ Yes ☒ No

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

Name: James R. Shay

Internal Address: Wilson Sonsini Goodrich & Rosati

Street Address: 650 Page Mill Road

City: Palo Alto

State: CA Zip: 94304-1050

Phone Number: (650) 493-9300

Fax Number: (650) 493-6811

Email Address: jshay@wsgr.com

**6. Total number of applications and patents involved:** 1

**7. Total fee (37 CFR 1.21(h) & 3.41)** \$40.00

- ☐ Authorized to be charged by credit card  
☒ Authorized to be charged to deposit account  
(29912-710.501)  
☐ Enclosed  
☐ None required (government interest not affecting title)

**8. Payment Information**

a. Credit Card Last 4 Numbers \_\_\_\_\_  
Expiration Date \_\_\_\_\_

B. Deposit account number: 23-2415

Authorized User Name Wilson Sonsini Goodrich & Rosati

**9. Signature.**

James R. Shay  
Signature

January 7, 2005  
Date

James R. Shay, Reg. No. 32,062

Name of Person Signing

Total number of pages including cover  
sheet, attachments, and documents: 5

Documents to be recorded (including cover sheet) should be faxed to (703) 306-5995, or mailed to:  
Mail Stop Assignment Recordation Services, Director of USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

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PATENT  
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## ASSIGNMENT OF APPLICATION

Docket Number 29912-710.501

Whereas, the undersigned:

GORDON, Lucas S.    MATHIS, Mark L.    NIEMINEN, Gregory    KOWALSKY, Leonard    Braxton, Ryan H.    DOLL, Brian J.  
 Issaquah, WA    Fremont, CA    Bothell, WA    Bothell, WA    Snoqualmine, WA    Sammamish, WA

hereinafter termed "Inventors", have invented certain new and useful improvements in

**PERCUTANEOUS MITRAL VALVE ANNULOPLASTY DELIVERY SYSTEM**

- ☒ for which an application for United States Patent was filed on September 9, 2004, Application No. 10/946,332.  
☐ for which a United States Patent issued on \_\_\_, U.S. Patent No. \_\_\_.

WHEREAS, Cardiac Dimensions, Inc., a corporation of the State of Delaware, having a place of business at Cardiac Dimensions, Inc., 5540 Lake Washington Blvd. NE, Kirkland, WA 98033, (hereinafter termed "Assignee"), is desirous of acquiring the entire right, title and interest in and to said application and the invention disclosed therein, and in and to all embodiments of the invention, heretofore conceived, made or discovered jointly or severally by said Inventors (all collectively hereinafter termed "said invention"), and in and to any and all patents, inventor's certificates and other forms of protection (hereinafter termed "patents") thereon granted in the United States and foreign countries.

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by said Inventors to have been received in full from said Assignee:

1. Said Inventors do hereby sell, assign, transfer and convey unto said Assignee the entire right, title and interest (a) in and to said application and said invention; (b) in and to all rights to apply for foreign patents on said invention pursuant to the International Convention for the Protection of Industrial Property or otherwise; (c) in and to any and all applications filed and any and all patents granted on said invention in the United States or any foreign country, including each and every application filed and each and every patent granted on any application which is a divisional, substitution, continuation, or continuation-in-part of any of said applications; and (d) in and to each and every reissue or extensions of any of said patents.

2. Said Inventors hereby jointly and severally covenant and agree to cooperate with said Assignee to enable said Assignee to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said Inventors shall include prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said Assignee (a) for perfecting in said Assignee the right, title and interest herein conveyed; (b) for prosecuting any of said applications; (c) for filing and prosecuting substitute, divisional, continuing or additional applications covering said invention; (d) for filing and prosecuting applications for reissuance of any said patents; (e) for interference or other priority proceedings involving said invention; and (f) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation reissues and reexaminations, opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expense incurred by said Inventors in providing such cooperation shall be paid for by said Assignee.

3. The terms and covenants of this assignment shall inure to the benefit of said Assignee, its successors, assigns and other legal representatives, and shall be binding upon said Inventors, their respective heirs, legal representatives and assigns.

4. Said Inventors hereby jointly and severally warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF, said Inventors have executed and delivered this instrument to said Assignee as of the dates written below:

Date: NOV. 30, 2004

Lucas S. Gordon  
 Lucas S. Gordon

Date: \_\_\_\_\_

Mark L. Mathis

Date: 11-30-04

Greg Nieminen  
 Gregory Nieminen

Date: \_\_\_\_\_

Leonard Kowalsky

Date: \_\_\_\_\_

Ryan H. Braxton

Date: 11/30/04

Brian J. Doll  
 Brian J. Doll

## ASSIGNMENT OF APPLICATION

Docket Number 29912-710.501

Whereas, the undersigned:

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- Said Inventors hereby jointly and severally warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF, said Inventors have executed and delivered this instrument to said Assignee as of the dates written below:

Date: \_\_\_\_\_

Lucas S. Gordon

Date: 12-1-04

Mark L. Mathis

Date: \_\_\_\_\_

Gregory Nieminen

Date: \_\_\_\_\_

Leonard Kowalsky

Date: \_\_\_\_\_

Ryan H. Braxton

Date: \_\_\_\_\_

Brian J. Doll

## ASSIGNMENT OF APPLICATION

Docket Number 29912-710.501

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 Issaquah, WA    Fremont, CA    Bothell, WA    Bothell, WA    Snoqualmine, WA    Sammamish, WA

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IN WITNESS WHEREOF, said Inventors have executed and delivered this instrument to said Assignee as of the dates written below:

Date: \_\_\_\_\_

Lucas S. Gordon

Date: \_\_\_\_\_

Mark L. Mathis

Date: \_\_\_\_\_

Gregory Nieminen

Date: 12.26.04

Leonard Kowalsky

Date: \_\_\_\_\_

Ryan H. Braxton

Date: \_\_\_\_\_

Brian J. Doll

## ASSIGNMENT OF APPLICATION

Docket Number 29912-710.501

Whereas, the undersigned:

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Date: \_\_\_\_\_

Leonard Kowalsky

Date: 12/9/04

Ryan H. Braxton

Date: \_\_\_\_\_

Brian J. Doll