

50623.523

Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 6/30/2005)

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE

U.S. Patent and Trademark Office

PATENTS ONLY

Tab settings

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

1. Name of conveying party(ies):

1. Florian Niklas Ludwig
2. Syed F.A. Hossainy
3. Srinivasan Sridharan
4. Carol Lee

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

2. Name and address of receiving party(ies)

Name: Advanced Cardiovascular Systems, Inc.

Street Address: 3200 Lakeside Drive

City: Santa Clara

State: CA

Zip: 95054

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

3. Nature of conveyance:

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

Execution Dates: 1) & 2) August 7, 2006; 2) July 24, 2006;
4) July 28, 2006

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)

11/445,041

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Cameron K. Kerrigan, Reg. No. 44,826

Address: Squire, Sanders & Dempsey L.L.P.

Street Address: One Maritime Plaza, Suite 300

City: San Francisco

State: CA

Zip: 94111

6. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41) \$ 40.00☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number:

07-1850

(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.

Zhaoyang Li, Ph.D.

Name of Person Signing

Signature

August 15, 2006

Date

Total number of pages including cover sheet, attachments, and documents: 6

Attorney Docket: 50623.523

ASSIGNMENT

- (1-8) Insert Name(s) of Inventor(s)
- (1) Florian Niklas Ludwig (4) Carol Lee
- (2) Syed F.A. Hossainy
- (3) Srinivasan Sridharan

For good and valuable consideration, receipt of which is hereby acknowledged, the undersigned agree(s) to assign, hereby do(es) assign, transfer and set over to:

- (9) Insert Name of Assignee (9) Advanced Cardiovascular Systems, Inc.
- (10) Insert State of Incorporation of Assignee (10) California
- (11) Insert Address of Assignee (11) of: 3200 Lakeside Drive, Santa Clara, CA 95054 (hereinafter designated as the Assignee) the entire worldwide right, title, interest, and patent applications and patents for every country, including divisions, reissues, continuations and all other extensions, rights and priorities in the invention known as and related to
- (12) Insert Identification of Invention, such as Title, Case Number or Foreign Application Number (12) Coating Layers For Medical Devices And Methods Of Making The Same
(Case No.50623.523) (Serial No. 11/445,041) for which the undersigned has (have) executed an application for patent in the United States of America
- (13) Insert Date of Signing of Application (13) 1) & 2) August 7, 2006; 3) July 24, 2006; 4) July 28, 2006
- 1) The undersigned agree(s) to execute all papers necessary in connection with the application and any continuing or divisional applications thereof and also to execute separate assignments in connection with such applications as the Assignee may deem necessary or expedient.
- 2) The undersigned agree(s) to execute all papers necessary in connection with any interference which may be declared concerning this application or continuation or division thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference.
- 3) The undersigned agree(s) to execute all papers and documents and perform any act which may be necessary in connection with claims or provisions of the International Convention for Protection of Industrial Property or similar agreements.

Attorney Docket: 50623.523

- 4) The undersigned agree(s) to perform all affirmative acts which may be necessary to obtain a grant of a valid United States patent to the Assignee.
- 5) The undersigned hereby authorize(s) and request(s) the Commissioner of Patents and the duly constituted authorities of foreign countries to issue any and all Letters Patents resulting from said application or any division or divisions or continuing or reissue applications thereof to the said Assignee, its successors and assigns, as Assignee of the entire right, title and interest, and hereby covenants that he has (they have) full right to convey the entire interest herein assigned, and that he has (they have) not executed and will not execute any agreement in conflict herewith.
- 6) *The undersigned hereby grant(s) practitioners associated with Customer Number*


45159

the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

Date

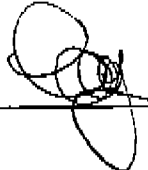
8/7/2006

Name of Inventor


Florian Niklas Ludwig

Date

Name of Inventor


Syed F.A. Hossainy

Date

Name of Inventor

Srinivasan Sridharan

Date

Name of Inventor

Carol Lee

Attorney Docket: 50623.523

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Date _____

Name of Inventor _____

Florian Niklas Ludwig

Date 8/7/06

Name of Inventor _____

Syed F.A. Hossainy

Date _____

Name of Inventor _____

Srinivasan Sridharan

Date _____

Name of Inventor _____

Carol Lee

Attorney Docket: 50623.523

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Date _____

Name of Inventor _____

Florian Niklas Ludwig

Date _____

Name of Inventor _____

Syed F.A. Hossainy

Date July 24 2006

Name of Inventor _____

Srinivasan Sridharan

Date _____

Name of Inventor _____

Carol Lee

Attorney Docket: 50623.523

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Date _____

Name of Inventor _____

Florian Niklas Ludwig

Date _____

Name of Inventor _____

Syed F.A. Hossainy

Date _____

Name of Inventor _____

Srinivasan Sridharan

Date 28 July 2006

Name of Inventor _____

Carol Lee
Carol Lee

PTO/SB/97 (05-03)

Approved for use through 04/30/2003, OMB 0651-0031

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

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

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I hereby certify that this correspondence is being facsimile transmitted to the United States Patent and Trademark Office

on August 15, 2006
Date



Signature

Zhaoyang Li, Ph.D.

Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of transmission, or this certificate must identify each submitted paper.

Transmittal Form
Fee Transmittal (in duplicate)
Recordation Form Cover Sheet (in duplicate)
Assignment

This collection of information is required by 37 CFR 1.8. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.8 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT
REEL: 018125 FRAME: 0554

PTO/SB/21 (08-03)

Please type a plus sign (+) inside this box → ☒

Approved for use through 08/30/03. QMB 0851-0031

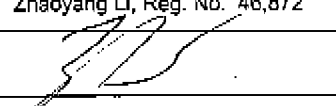
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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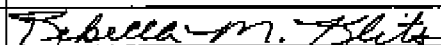
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>		Application Number	11/445,041
		Filing Date	May 31, 2006
		First Named Inventor	Florian N. Ludwig
		Group Art Unit	1615
		Examiner Name	Unassigned
Total Number of Pages in This Submission (excluding references)	11	Attorney Docket Number	50623.523

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Deposit Account 07-1850 Authorization <input type="checkbox"/> Postage Paid Return Postcard <input type="checkbox"/> Response <input type="checkbox"/> Amendment Transmittal Letter (in duplicate) <input type="checkbox"/> Declaration <input type="checkbox"/> Petition for Extension of Time (___ month) (in duplicate) <input type="checkbox"/> Information Disclosure Statement (in duplicate) with Form PTO-1449 and ___ References <input type="checkbox"/> Express Mail Label No. <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (7 pages) (for an Application) <input type="checkbox"/> Drawing(s) In/Formal ___ Sheets with Submission of Drawings Transmittal <input type="checkbox"/> Issue Fee Transmittal with PTO-85b (in duplicate) <input type="checkbox"/> Request for Continued Examination Transmittal (RCE) <input checked="" type="checkbox"/> Fee Transmittal Form (1 page) (in duplicate) <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) ____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Request for Status of Application <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Certificate of Transmission under 37 CFR 1.8 (1 page)
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Squire, Sanders & Dempsey L.L.P. Zhaoyang Li, Reg. No. 46,872
Signature	
Date	August 15, 2006

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.			
Typed or printed name	Rebecca M. Klits		
Signature		Date	August 15, 2006

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FEE TRANSMITTAL for FY 2006

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 40.00

Complete if Known

Application Number 11/445,041

Filing Date May 31, 2006

First Named Inventor Florian N. Ludwig

Examiner Name Unassigned

Art Unit 1616

Attorney Docket No. 50623.523

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number

07-1950

Deposit
Account
Name

Squire, Sanders & Dempsey L.L.P.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	300	2001	150	Utility filing fee	
1002	200	2002	100	Design filing fee	
1003	200	2003	100	Plant filing fee	
1004	300	2004	150	Reissue filing fee	
1005	200	2005	100	Provisional filing fee	
SUBTOTAL (1)					

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		-20 **	=		X	Fee from below 50	=	
Independent Claims		-3 **	=		X	200	=	
Multiple Dependent					X		=	0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	50	2202	25	Claims in excess of 20	
1201	200	2201	100	Independent claims in excess of 3	
1203	360	2203	180	Multiple dependent claim, if not paid	
1204	200	2204	100	** Reissue Independent claims over original patent	
1205	50	2205	25	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

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

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,940*	1805	1,940*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1401	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	680	2503	330	Plant issue fee	
1450	130	1450	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (a)	
1805	180	1805	180	Submission of Information Disclosure Stmt	
9021	40	9021	40	Recording each patent assignment per property (times number of properties)	40
1809	790	2809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1311	200	2311	100	Utility Examination Fee	

Other fee (specify) Utility Search Fee

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)

Zhaoyang Li, Ph.D.

Registration No. (Attorney/Agent)

48,872

Telephone

(415) 954-0200

Signature

Date

August 15, 2006

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT
REEL: 018125 FRAME: 0556

PTO/SB/17 (10-04v2)

Approved for use through 07/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**FEE TRANSMITTAL
for FY 2006**

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27**TOTAL AMOUNT OF PAYMENT** (\$) 40.00**Complete If Known**

Application Number	11/445,041
Filing Date	May 31, 2006
First Named Inventor	Florian N. Ludwig
Examiner Name	Unassigned
Art Unit	1815
Attorney Docket No.	50623.523

METHOD OF PAYMENT (check all that apply)☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None
Order☒ Deposit Account:Deposit
Account
Number

07-1850

Deposit
Account
Name

Squire, Sanders & Dempsey L.L.P.

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☒ Charge any additional fee(s) or any underpayment of fee(s)
☐ Charge fee(s) indicated below, except for the filing fee
 to the above-identified deposit account.
FEE CALCULATION**1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
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1002	200	2002	100	Design filing fee	
1003	200	2003	100	Plant filing fee	
1004	300	2004	150	Reissue filing fee	
1005	200	2005	100	Provisional filing fee	

SUBTOTAL (1)

(\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
20	20	50	
3	3	200	
Multiple Dependent			0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	50	2202	25	Claims in excess of 20
1201	200	2201	100	Independent claims in excess of 3
1203	380	2203	180	Multiple dependent claim, if not paid
1204	200	2204	100	** Reissue independent claims over original patent
1205	50	2205	25	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

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

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

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
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1453	1,370	2453	685	Petition to revive - unintentional	
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1502	480	2502	240	Design issue fee	
1503	680	2503	330	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17 (q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
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1801	790	2801	395	Request for Continued Examination (RCE)	
1311	200	2311	100	Utility Examination Fee	

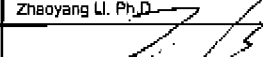
Other fee (specify) Utility Search Fee

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$) 40

SUBMITTED BY**Complete (if applicable)**

Name (Print/Type)	Zhaoyang Li, Ph.D.	Registration No. (Attorney/Agent)	46,872	Telephone	(415) 954-0200
Signature		Date	August 15, 2006		

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**PATENT
REEL: 018125 FRAME: 0557**

**SQUIRE
SANDERS**LEGAL
COUNSEL
WORLDWIDE**SQUIRE, SANDERS & DEMPSEY L.L.P.**One Maritime Plaza, Suite 300
San Francisco, CA 94111-3492
Office: +1.415.954.0200
Fax: +1.415.393.9887Preferred Fax: _____
If Problems: _____**August 15, 2006****PLEASE DELIVER THESE PAGES IMMEDIATELY****Number of Pages (including cover): 12****TO:** Assignment Division**FAX NO.:** (571) 273-0140**COMPANY:** USPTO Office of Public Records**PHONE NO.:****FROM:** Zhaoyang Li, Ph.D.**DIRECT DIAL NO.:** +1.415.393.9885**E-MAIL:** zli@ssd.com**RE:** Assignment Recordation
U.S. Patent Application Serial No. 11/445,041
Our File 50623.523**Message: Please see attached.****CONFIDENTIALITY NOTICE:**

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Rebecca Klits

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