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OMB No. 0651-0027 (exp. 3/31/2009)  
P08/REV06

RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

**PATENTS ONLY**

To the Director of the United States Patent and Trademark Office: Please record the attached documents or the new address(es) below.

**1. Name of conveying party(ies):**  
Kevin. GRIMES; Jan KOMTEBEDDE;  
Daniel C. ROSENMAN; Hanson S. GIFFORD, III;  
Wesley D. STERMAN; David M. TAYLOR;  
Adam SHARKAWY and Pinaki RAY

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

**2. Name and address of receiving party(ies):**  
Name: Heartport, Inc.  
Internal Address: \_\_\_\_\_  
\_\_\_\_\_  
Street Address: 700 Bay Road  
\_\_\_\_\_  
City: Redwood City  
State: California  
Country: USA ZIP: 94063  
Additional name(s) & address(es) attached?  Yes  No

**3. Nature of conveyance/Execution Date(s):**  
Execution Date(s): 2-24; 2-25; 2-26-99; 3-15 & 3-19-1999  
 Assignment  Merger  
 Security Agreement  Change of Name  
 Joint Research Agreement  
 Government Interest Assignment  
 Executive Order 9424, Confirmatory License  
 Other \_\_\_\_\_

**4. Application or patent numbers(s):**  
A. Patent Application No.(s)  
\_\_\_\_\_  
Additional numbers attached?  Yes  No

This document is being filed together with a new application.  
B. Patent No.(s)  
6,902,556

**5. Name and address to whom correspondence concerning document should be mailed:**  
Name: Edwards Lifesciences  
Internal Address: Legal Department - Keith Newburry  
\_\_\_\_\_  
Street Address: One Edwards Way  
\_\_\_\_\_  
City: Irvine  
State: CA ZIP: 92614  
Phone Number: 949-250-6803  
Fax Number: 949-250-6850  
Email Address: keith\_newburry@edwards.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 to deposit account  
 Enclosed  
 None required (government interest not affecting title)

**8. Payment Information:**  
Deposit Account Number 501225  
Authorized User Name Keith Newburry

**9. Signature:**   
Signature

11/1/10  
Date

Keith Newburry, Reg. No. 38,980

Name of Person Signing

Total number of pages including cover sheet, attachments, and document: 9

CIH \$40.00 501225 6902556

Heartport No. 108-CP

## ASSIGNMENT OF PATENT APPLICATION

WHEREAS, KEVIN V. GRIMES, JAN KOMTEBEDDE, DANIEL C. ROSENMAN, HANSON S. GIFFORD, III, MICHI E. GARRISON, WESLEY D. STERMAN, DAVID M. TAYLOR, A. ADAM SHARKAWY and PINAKI RAY, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below identified application for United States Letters Patent:

Title of the Invention: **METHODS AND DEVICES FOR OCCLUDING THE ASCENDING AORTA AND MAINTAINING CIRCULATION OF OXYGENATED BLOOD IN THE PATIENT WHEN THE PATIENT'S HEART IS ARRESTED**

Filing date: January 21, 1999

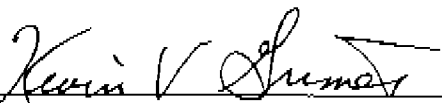
Application No.: 09/235,043

WHEREAS, HEARTPORT, INC., a Delaware corporation, located at 700 Bay Road, Redwood City, California 94063, hereinafter referred to as "Assignee," is desirous of acquiring an interest in the invention and application and in any Letters Patent and Registrations which may be granted on the same:


For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents does assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and all future improvements thereon, and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interests to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.


IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

  
Kevin V. Grimes

2/24/99  
Date

  
Jan Komtebedde

02/24/99  
Date

  
Daniel C. Rosenman

2/28/99  
Date

**PATENT**  
**REEL: 025227 FRAME: 0289**

[Signature]  
Hanson S. Gifford, III

2/24/99  
Date

Michi E. Garrison  
Michi E. Garrison

2/20/99  
Date

Wesley D. Sterman  
Wesley D. Sterman

          
Date

David M. Taylor  
David M. Taylor

          
Date

A. Adam Sharkawy  
A. Adam Sharkawy

          
Date

Pinaki Ray  
Pinaki Ray

          
Date

STATE OF CALIFORNIA        )  
  ) ss  
COUNTY OF SAN MATEO        )

On February 24, 1999 before me, Loni M. Cummings, Notary Public, personally appeared Kevin V. Grimes, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature [Signature]  
Notary Public - My Commission  
Expires February 9, 2001

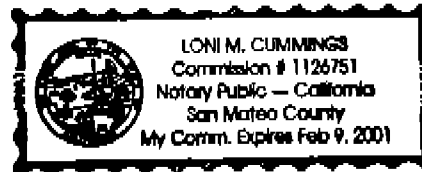


STATE OF CALIFORNIA )  
 ) ss  
COUNTY OF SAN MATEO )

On February 24, 1999 before me, Loni M. Cummings, Notary Public, personally appeared Jan Komtebedde, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature Loni M. Cummings  
Notary Public—My Commission  
Expires February 9, 2001

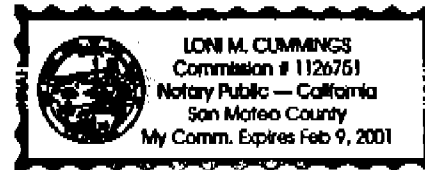


STATE OF CALIFORNIA )  
 ) ss  
COUNTY OF SAN MATEO )

On February 24, 1999 before me, Loni M. Cummings, Notary Public, personally appeared Daniel C. Rosenmen, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature Loni M. Cummings  
Notary Public—My Commission  
Expires February 9, 2001

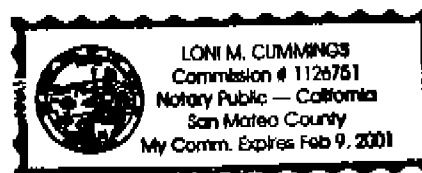


STATE OF CALIFORNIA )  
 ) ss  
COUNTY OF SAN MATEO )

On February 24, 1999 before me, Loni M. Cummings, Notary Public, personally appeared Hanson S. Gifford, III, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature Loni M. Cummings  
Notary Public—My Commission  
Expires February 9, 2001



STATE OF CALIFORNIA )  
 ) ss  
COUNTY OF SAN MATEO )

On February 24, 1999 before me, Loni M. Cummings, Notary Public, personally appeared Michi E. Garrison, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature [Handwritten Signature]  
Notary Public—My Commission  
Expires February 9, 2001



STATE OF CALIFORNIA )  
 ) ss  
COUNTY OF \_\_\_\_\_ )

On \_\_\_\_\_ before me, \_\_\_\_\_

\_\_\_\_\_, (Name and Title of Officer), personally appeared Wesley D. Sterman, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature \_\_\_\_\_  
Notary Public—My Commission  
Expires \_\_\_\_\_

STATE OF CALIFORNIA )  
 ) ss  
COUNTY OF \_\_\_\_\_ )

On \_\_\_\_\_ before me, \_\_\_\_\_

\_\_\_\_\_, (Name and Title of Officer), personally appeared David M. Taylor, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature \_\_\_\_\_  
Notary Public—My Commission  
Expires \_\_\_\_\_

Hanson S. Gifford, III

Date

Michi E. Garrison

Date

Wesley D. Starman

Date

2/26/97

David M. Taylor

Date

A. Adam Sharkawy

Date

Pinaki Ray

Date

STATE OF CALIFORNIA )  
 ) ss  
COUNTY OF SAN MATEO )

On \_\_\_\_\_ before me, Loni M. Cummings, Notary Public, personally appeared Kevin V. Grimes, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature \_\_\_\_\_  
Notary Public—My Commission  
Expires February 9, 2001

\_\_\_\_\_  
Hanson S. Gifford, III

\_\_\_\_\_  
Date

\_\_\_\_\_  
Michi E. Garrison

\_\_\_\_\_  
Date

\_\_\_\_\_  
Wesley D. Sterman

\_\_\_\_\_  
Date

*D. M. Taylor*  
\_\_\_\_\_  
David M. Taylor

*3-15-99*  
\_\_\_\_\_  
Date

\_\_\_\_\_  
A. Adam Sharkawy

\_\_\_\_\_  
Date

\_\_\_\_\_  
Pinaki Ray

\_\_\_\_\_  
Date

STATE OF CALIFORNIA      )  
                                      ) ss  
COUNTY OF SAN MATEO     )

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Notary Public—My Commission  
Expires February 9, 2001

Hanson S. Gifford, III

Date

Michi E. Garrison

Date

Wesley D. Sterman

Date

David M. Taylor

Date



A. Adam Sharkawy

2/25/99  
Date

Pinaki Ray

Date

STATE OF CALIFORNIA )  
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On \_\_\_\_\_ before me, Loni M. Cummings, Notary Public, personally appeared Kevin V. Grimes, who proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

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\_\_\_\_\_  
Hanson S. Gifford, III

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Wesley D. Sterman

\_\_\_\_\_  
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\_\_\_\_\_  
David M. Taylor

\_\_\_\_\_  
Date

\_\_\_\_\_  
A. Adam Sharkawy

\_\_\_\_\_  
Date

Pinaki Ray  
Pinaki Ray

03/19/99.  
Date

STATE OF CALIFORNIA            )  
  ) ss  
COUNTY OF SAN MATEO        )

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WITNESS my hand and official seal.

Signature \_\_\_\_\_  
Notary Public—My Commission  
Expires February 9, 2001