

PATENT ASSIGNMENT

Electronic Version v1.1
Stylesheet Version v1.1

SUBMISSION TYPE:	CORRECTIVE ASSIGNMENT										
NATURE OF CONVEYANCE:	Corrective Assignment to correct the Assignee's Name previously recorded on Reel 004952 Frame 0042. Assignor(s) hereby confirms the The Spectranetics Corporation.										
CONVEYING PARTY DATA											
<table border="1"><thead><tr><th>Name</th><th>Execution Date</th></tr></thead><tbody><tr><td>Kenneth P. Grace</td><td>07/27/1988</td></tr><tr><td>Facundo Aparicio</td><td>07/27/1988</td></tr></tbody></table>		Name	Execution Date	Kenneth P. Grace	07/27/1988	Facundo Aparicio	07/27/1988				
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Kenneth P. Grace	07/27/1988										
Facundo Aparicio	07/27/1988										
RECEIVING PARTY DATA											
<table border="1"><tr><td>Name:</td><td>The Spectranetics Corporation</td></tr><tr><td>Street Address:</td><td>96 Talamine Court</td></tr><tr><td>City:</td><td>Colorado Springs</td></tr><tr><td>State/Country:</td><td>COLORADO</td></tr><tr><td>Postal Code:</td><td>80907</td></tr></table>		Name:	The Spectranetics Corporation	Street Address:	96 Talamine Court	City:	Colorado Springs	State/Country:	COLORADO	Postal Code:	80907
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PROPERTY NUMBERS Total: 1											
<table border="1"><thead><tr><th>Property Type</th><th>Number</th></tr></thead><tbody><tr><td>Patent Number:</td><td>5267993</td></tr></tbody></table>		Property Type	Number	Patent Number:	5267993						
Property Type	Number										
Patent Number:	5267993										
CORRESPONDENCE DATA											
Fax Number: (719)448-5922 <i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>											
Phone: 719-448-5947											
Email: Patentcoloradospring@hoganlovells.com											
Correspondent Name: Hogan Lovells US LLP											
Address Line 1: One Tabor Center											
Address Line 2: 1200 17th Street, Suite 1500											
Address Line 4: Denver, COLORADO 80202											
ATTORNEY DOCKET NUMBER:	026484-002602 US										
NAME OF SUBMITTER:	Scott J. Hawranek										
Total Attachments: 11											

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PATENT
REEL: 026188 FRAME: 0539

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PATENTS ONLY

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

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

Kenneth P. Grace - Execution Date: 07/27/1988Facundo Aparicio - Execution Date: 07/27/1988Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance

☐ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Joint Research Agreement☐ Government Interest Assignment☐ Executive Order 9424, Confirmatory License☒ Other Corrective Notice of Recordation(reel/frame 004952/0042)

2. Name and address of receiving party(ies)

The Spectranetics Corporation

96 Talamine Court

Colorado Springs, CO 80907

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

4. Application or patent number(s):

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

A. Patent Application No.(s)

B. Patent No.(s) 5,267,993Attorney Docket No.: 026484-002602USAdditional numbers attached? ☐ Yes ☒ No

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

Name: Scott J. HawranekInternal Address: Hogan Lovells US LLPOne Tabor Center1200 17th Street, Suite 1500Street Address: same as aboveCity: Denver State: CO Zip: 80202Phone Number: 719-448-5909Fax Number: 719-448-5922Email Address: Patentcoloradospring@hoganlovells.com6. Total number of applications and patents involved: 17. 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 50-1123

Authorized User Name _____

9. Signature :

Signature

Date

Scott J. Hawranek

Name of Person signing

Total number of pages including cover sheet, attachments and document: 11

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
REQUEST FOR FILING
(RULE 60)
For Design or Utility Applications

Rule 60 PATENT APPLICATION:

[] Continuation)
[XXX] Divisional) application under 37 CFR 1.60

of pending prior application of

Inventor(s): GRACE et al.

Appln. No. 0 7 / 468,837
series code ↑ ↑ serial no.

Filed: January 12, 1990

Title: FIBEROPTIC COUPLER

Hon. Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

To effect the above-requested filing today:

1. **Attached** is a true copy (which must be filed) of the prior application as originally filed, including:

[XXX] Abstract

[XXX] Specification and claims (unamended clean copy) as originally filed (22 pages) (must be attached)

[XXX] Signed declaration or oath as originally filed in prior application (must be attached)

[XXX] Drawings (must be attached if originally filed): 6 sheet(s)/set: [XXX] 1 set informal;

[] Formal of size [] A4 [] 13" [] 14"

NOTE: No amendments (if any) referred to in the Oath/Declaration filed to complete the prior application introduced new matter.

2. [] This Rule 60 application is hereby filed by less than all of the inventors named in the prior application. Petition is hereby made requesting deletion as inventor(s) of the following who is/are not inventor(s) of the invention being claimed in this Rule 60 application:

1. _____
3. _____

2. _____
4. _____

3. [] Transfer the drawings from the prior application to this application and abandon said prior application as of the filing date accorded this application. A third copy of this letter is attached for filing in the prior application file.

4. ☐ Priority is claimed under 35 U.S.C. 119/365 based on filing in _____ of _____ (country)

Application No.	Filing Date	Application No.	Filing Date
(1) _____	_____	(4) _____	_____
(2) _____	_____	(5) _____	_____
(3) _____	_____	(6) _____	_____

- a. ☐ _____ (No.) Certified copy/copies attached.
b. ☐ Certified copy/copies previously filed on _____ in U.S. Application No. 0 / _____, filed on _____.
series code ↑ ↑ serial no.
c. ☐ Certified copy/copies filed during International stage of PCT / _____ / _____.
d. ☐ Priority is also claimed from PCT / _____ / _____ filed _____.

5. [XXX] Prior application is assigned to The Spectranetics Corporation
by Assignment recorded August 4, 1988 Reel 4952 Frame 0042
(Date)
6. Attached is an Assignment to _____

Please return the recorded Assignment to the undersigned.

7. [XXX] The power of attorney in the prior application is to Dale S. Lazar, Reg. No. 28,872, Cushman, Darby & Cushman
(Name, Reg. No.)

whose current address is as in item 8 below.

- a. [XXX] The power appears in the original papers of the prior application.
b. ☐ Since the power does not appear in the original papers, a copy of the power in the prior application is attached.
c. ☐ Recognize as associate attorney _____
(Name, Reg. No. and Address)

8. Address all future communications to Cushman, Darby & Cushman, Eleventh Floor, 1615 L Street, N.W., Washington, D.C. 20036-5601.

9. Amend the specification by inserting before the first line the sentence:--This is a
☐ continuation [XXX] division of Application No. 07 / 468,837, filed January 12, 1990.
series code ↑ ↑ serial no.
which is a division of Application No. 07/228,278 filed August 4, 1988, now issued as U.S. Patent 4,919,508.--

10. [XXX] 1 (No.) Verified Statement(s) establishing "small entity" status under Rules 9 & 27
[XXX] filed in above prior application (and hence applicable hereto)
☐ attached.

11. Petition to extend the life of the above prior application to at least the date hereof
(One box) ☐ is being concurrently filed in that prior application (Use Form CDC-111).
(must be) ☐ was previously filed in that prior application (Check length of prior extension).
(X'd) [XXX] is not necessary for copendency (Double check before X'ing this box).

12. [XXX] Attached is Form PTO-1449 listing all of the documents cited by Applicant and the PTO in the parent application(s) in which document copies were in the files thereof. Please consider those documents and return a copy of the enclosed Form PTO-1449 with the Examiner's initials in the left column per MPEP 609 and 2001.06(b).

13. ☐ Attached is a Rule 103(a) Petition to Suspend Action.

14. ☒ **PRELIMINARY AMENDMENT to be entered before fee calculation:** (Do not make amendments here except for correction of improper multiple dependencies or cancellation of whole claims or multiple dependencies for purpose of reducing the filing fee per MPEP §§ 506 and 607; do not cancel all claims).

Please cancel claims 1-11 without prejudice.

FILING FEE

THE FOLLOWING FILING FEE IS BASED ON

-->-->--> CLAIMS AS FILED AND CHANGED BY PRELIMINARY AMENDMENT IN ITEM 14 <--<--<--<

see box 10 re: Large/Small Entity

15. Basic filing fee	-----	Design Appln. (\$280/\$140)	\$	_____
16. Basic filing fee	-----	Not Design Appln. (\$690/\$345)	\$	<u>345.00</u>
17. Total Effective Claims	<u>10</u> minus	20 =	*	_____ x \$20/\$10 = + <u>-0-</u>
18. Independent Claims	<u>3</u> minus	3 =	*	_____ x \$72/\$36 = + <u>-0-</u>
* If answer is zero or less, enter "0"				
19. If <u>any</u> proper (ignore improper) multiple dependent claim remains, add	-----	\$220/\$110	+	_____
20. -----		Subtotal	\$	_____
21. If "petition" box 13 above is X'd, -----		add petition fee (\$130.00)	+	_____
22. -----		TOTAL FILING FEE ATTACHED	\$	<u>345.00</u>

23. ☐ ATTACHED:

24. ☒ Preliminary Amendment attached (to be entered after assigning Appln. No.)

25. ☐ The following PRELIMINARY AMENDMENT is to be entered after assigning Appln. No.:

26.

**ADDITIONAL FEE CALCULATION FOR
PRELIMINARY AMENDMENT
PER BOXES 24/25**

	Claims remaining after amendment	Highest number previously paid for	Present Extra		Additional Fee
				<u>Large/Small Entity</u>	
27. Total Effective Claims	* <u>10</u>	Minus ** <u>20</u>	= <u>0</u>	x \$20/\$10	= \$ <u>-0-</u>
28. Independent Claims	* <u>3</u>	Minus *** <u>3</u>	= <u>0</u>	x \$72/\$36	= + <u>-0-</u>
29. If amendment enters proper multiple dependent claim(s) into this application for first time, add (per application) -----				\$220/\$110	+ <u>-0-</u>
30.				ADDITIONAL FEE	\$ <u>-0-</u>
31.				plus FEE from item 22 on page 3	+ <u>345.00</u>
32.				<u>TOTAL FEE ATTACHED</u>	\$ <u>345.00</u>

33.*If the entry in this space is less than entry in the next space, the "Present Extra" results is "0".

34.**If the "Highest number previously paid for" (see item 16 above) is less than 20, write "20" in this space.

35.***If the "Highest number previously paid for" (see item 17 above) is less than 3, write "3" in this space.

CHARGE STATEMENT: The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. **This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.**

CUSHMAN, DARBY & CUSHMAN

1615 L Street, N.W.
Eleventh Floor

Washington, D.C. 20036-5601
Tel: (202) 861-3000
Atty/Sec:

By Atty: Dale S. Lazar Reg. No. 28,872

Sig: _____ Fax: (202) 822-0944
Tel.: (202) 861-3527

NOTE: File this Request in duplicate with 2 postcard receipts (CDC-103) & attachments.

ASSIGNMENT

WHEREAS, WE, Kenneth P. Grace, residing at 400 Hillcrest, Woodland Park, Colorado 80866, and Facundo Aparicio, residing at 6845 Delmonico Drive, Apt. D, Colorado Springs, Colorado 80919, (hereinafter ASSIGNORS), respectively have invented a certain invention titled FIBEROPTIC COUPLER, for which an application for Letters Patent of the United States was executed by us on even date herewith.

WHEREAS, THE SPECTRANETICS CORPORATION, (hereinafter ASSIGNEE), a corporation duly organized and existing under the laws of the State of Colorado, and having a principal office and place of business at 80 Talamine Court, Colorado Springs, Colorado 80907-5159, is desirous of acquiring an interest therein.

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we the said ASSIGNORS, by these presents do sell, assign and transfer unto the said ASSIGNEE, its successors, assigns and legal representatives, the full and exclusive right, title and interest to the said invention in the United States and all foreign countries as described in the aforesaid application, together with the right of priority under the International Convention for the Protection of Industrial Property, Inter-American Convention relating to Patents, Design and Industrial Models, and any other international agreements to which the United States of America adheres, and I hereby authorize and request the United States Commissioner of Patents, and any Official of any country or

countries foreign to the United states, whose duty it is to issue patents on applications as aforesaid to issue all Letters Patent for said invention to said ASSIGNEE, its successors, assigns and legal representatives in accordance with the terms of this instrument.

AND ASSIGNORS HEREBY covenants and agrees that without further compensation they shall communicate to said ASSIGNEE, its successors, legal representatives and assigns, any facts known to their respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said invention.

AND WE HEREBY agree to transfer a like interest, upon request of said ASSIGNEE, its successors, assigns and legal representatives, and without further remuneration, in and to any improvements, and applications for patent based thereon, growing out of or related to the said invention; and to execute any papers by the said ASSIGNEE, its successors, assigns and legal representatives, deemed essential to ASSIGNEE's full protection and title in and to the invention hereby transferred.

Agreeing furthermore, upon request to said ASSIGNEE, without further remuneration, to execute any and all papers desired by said ASSIGNEE for the filing and granting of foreign applications and the perfecting of title thereto in said ASSIGNEE.

Executed this 27th day of July, 1988.

Kenneth P. Grace 7/27/88
Kenneth P. Grace Date

STATE OF COLORADO)
COUNTY OF El Paso) :ss.

On this 27th day of July, 1988, appeared before me Kenneth P. Grace to me known and personally known to me to be the individual referred to in the foregoing Assignment, and this individual acknowledged to me that he executed the same as their free act and deed for the uses and purposes therein set forth.

Cady Butler
NOTARY PUBLIC
my commission expires 3-23-92

Facundo Aparicio 7-27-88
Facundo Aparicio Date

STATE OF COLORADO)
COUNTY OF El Paso) :ss.

On this 27th day of July, 1988, appeared before me Facundo Aparicio to me known and personally known to me to be the individual referred to in the foregoing Assignment, and this individual acknowledged to me that he executed the same as their free act and deed for the uses and purposes therein set forth.

Cady Butler
NOTARY PUBLIC
my commission expires 3-23-92