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

## RECORDATION FORM COVER SHEET 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):

Mitral Solutions, Inc.

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

### 2. Name and address of receiving party(ies)

Name: St. Jude Medical, Cardiology Division, Inc.

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

Street Address: \_\_\_\_\_

177 East County Road B

City: St. Paul

State: Minnesota

Country: United States of America Zip: 55117

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

### 3. Nature of conveyance/Execution Date(s):

Execution Date(s): November 25, 2009

☒ Assignment ☐ Merger ☐ Change of Name

☐ Security Agreement ☐ Joint Research Agreement

☐ Government Interest Assignment

☐ Executive Order 9424, Confirmatory License

☐ Other \_\_\_\_\_

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

A. Patent Application No.(s)

12/757,687

PCT/US2008/000014

60/878,068

Additional numbers attached? ☐ Yes ☒ No

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

B. Patent No.(s)

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

Name: Stephen B. Goldman  
LERNER, DAVID, LITTENBERG,  
KRUMHOLZ & MENTLIK, LLP

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Fax Number: 908-654-7866

Email Address: ataylor@ldikm.com

### 6. Total number of applications and patents involved:

3

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 120.00

☒ Authorized to be charged to deposit account

☐ Enclosed

☐ None required (government interest not affecting title)

### 8. Payment Information

Deposit Account Number 12-1095

Authorized User Name Stephen B. Goldman

### 9. Signature:



Signature

October 24, 2012

Date

Stephen B. Goldman - 28,512

Name of Person Signing

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

*Execution Version*PATENT ASSIGNMENT AGREEMENT

This PATENT ASSIGNMENT AGREEMENT (the "Assignment") is made and entered into as of November 25, 2009 by and between MitralSolutions, Inc., a Delaware corporation ("Assignor") and St. Jude Medical, Cardiology Division, Inc., a Delaware corporation ("Assignee").

WHEREAS, Assignor is transferring to Assignee its right, title and interest in and to the patents and patent applications identified on the attached Exhibit A, together with the invention(s) disclosed therein (collectively the "Patents"); and

WHEREAS, Assignee is desirous of acquiring the entire right, title, and interest in and to the Patents, together with any and all causes of action and rights of recovery for past infringements of the Patents.

NOW, THEREFORE, for good and valuable consideration received by Assignor from Assignee, the receipt in full of which is hereby acknowledged, the parties agree as follows:

1. Assignor hereby sells, assigns, transfers and conveys unto Assignee the entire right, title and interest (a) in and to Patents and Assignor's other intellectual property relating to technology, devices and/or systems disclosed in the Patents and/or systems and/or methodologies disclosed in the Patents tested in clinical trials conducted by or on behalf of Assignor, (b) in and to any nonprovisional, division, substitution, continuation, continuation-in-part, reissue, reexamination, foreign counterpart, and extension of the intellectual property described in Section 1 (a) filed hereafter by Assignee, (c) in and to all of Assignor's rights under the International Conventions derived from such intellectual property and all other rights vested in Assignor by virtue of the instruments of assignment and/or by virtue of other instruments pursuant to which Assignor became vested with ownership of such intellectual property, including the right, title, and interest in and to any and all improvements acquired pursuant to the terms of said instruments of assignment, (d) in and to each and every Letters Patent, both foreign and domestic, which is granted on any application included in the intellectual property described in Section 1(a) or 1(b) or that is filed hereafter by Assignee which is a nonprovisional, division, substitution, continuation, continuation-in-part of such intellectual property, and in and to each and every reissue, reexamination, or extension of such intellectual property, and (e) in and to all claims, causes of action, and other rights with respect to such intellectual property.
2. Assignor hereby covenants and agrees to cooperate with Assignee to promptly execute all papers prepared at the expense of Assignee which are deemed necessary or desirable by Assignee to perfect in it the right, title and interest herein conveyed and to obtain and maintain the Letters Patents.
3. Assignor hereby authorizes and requests the Commissioner of Patents and Trademarks to issue all Letters Patent which may be granted upon any of the applications included in the Patents as defined above, to Assignee, as the assignee of the entire interest therein.
4. The terms, covenants and provisions of this Assignment shall inure to the benefit of Assignee, its successors, assigns, and/or legal representatives, and shall be binding upon Assignor, its successors, assigns and/or other legal representatives.

IN WITNESS WHEREOF, the parties hereto have executed this Patent Assignment Agreement as of the date first above written.

MITRALSOLUTIONS, INC., a  
Delaware corporation

By: 

Name: JAMES L. GREVE

Title: CEO

ST. JUDE MEDICAL, CARDIOLOGY  
DIVISION, INC., a Delaware corporation

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature Page - Patent Assignment Agreement

IN WITNESS WHEREOF, the parties hereto have executed this Patent Assignment Agreement as of the date first above written.

MITRALSOLUTIONS, INC., a  
Delaware corporation

By: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title: \_\_\_\_\_

ST. JUDE MEDICAL, CARDIOLOGY  
DIVISION, INC., a Delaware corporation

By: *John C. Heinniller*  
Name: JOHN C HEINMILLER  
Title: VICE PRESIDENT

Signature Page – Patent Assignment Agreement

PATENT  
REEL: 029209 FRAME: 0469

**Exhibit A  
to  
Patent Assignment Agreement**

Application, Publication or Patent Number	Country	Filing or 371(c) date	Attorney Docket	Title
60/406,841	US	29-Aug-2002	28099-0006 PR	ADJUSTABLE IMPLANT DEVICES AND METHODS FOR THEIR ADJUSTMENT AND USE
60/444,005	US	31-Jan-2003	28099-0006 PR	DELIVERY SYSTEMS AND METHODS FOR USE FOR DELIVERY, PLACEMENT, AND/OR ADJUSTMENT OF A PROSTHETIC IMPLANT WITHIN A DESIRED RECIPIENT ANATOMIC SITE
60/447,383	US	14-Feb-2003	28099-0006 PR	DELIVERY SYSTEMS AND METHODS FOR USE FOR DELIVERY, PLACEMENT, AND/OR ADJUSTMENT OF A PROSTHETIC IMPLANT WITHIN A DESIRED RECIPIENT ANATOMIC SITE
60/462,435	US	12-Apr-2003	28099-0006 PR	PROSTHETIC IMPLANTS, DELIVERY SYSTEMS, AND METHODS FOR USE FOR DELIVERY, PLACEMENT, AND/OR ADJUSTMENT WITHIN A DESIRED RECIPIENT ANATOMIC SITE
10/651,840 7,297,150	US	29-Aug-2003	28099-0006 US	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
11/878,784 US 2007-0299543	US	26-Jul-2007	28099-0006 CON	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
12/350,700 US 2009-0125102	US	08-Jan-2009	28099-0006 CON	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
10/651,851 7,455,690	US	29-Aug-2003	28099-0005 US	METHODS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN

Application, Publication or Patent Number	Country	Filing or 371(c) date	Attorney Docket	Title
12/013,086 US 2008-0109076	US	11-Jan-2008	28099-0005 CON	METHODS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
10/651,852 7,175,660	US	29-Aug-2003	28099-0004 US	APPARATUS FOR IMPLANTING SURGICAL DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
PCT/US03/27268	PCT	29-Aug-2003	28099-0009 PCT	APPARATUS FOR IMPLANTING SURGICAL DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
PCT/US03/27278 WO 2004/019816	PCT	29-Aug-2003	28099-0010 PCT	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
CN 3823518.8	CHINA	29-Aug-2003	28099-0010 CN	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
EP 3791977.6	EP	29-Aug-2003	28099-0010 EP	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
IN 469/KOLNP/2005 220271	INDIA	29-Aug-2003	28099-0010 IN	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
IL 167133	ISRAEL	29-Aug-2003	28099-0010 IL	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN

Application, Publication or Patent Number	Country	Filing or 371(c) date	Attorney Docket	Title
JP 2004-531996 4316503	JAPAN	29-Aug-2003	28099-0010 JP	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
KR 10-2005-7003553	S. KOREA	29-Aug-2003	28099-0010 KR	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
MX PA/a/2005/002284 266419	MEXICO	29-Aug-2003	28099-0010 MX	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
SG 2005 01206-7 110663	SINGAPORE	29-Aug-2003	28099-0010 SG	IMPLANTABLE DEVICES FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
60/801,861	US	19-May- 2006	28099-0011 PR	IMPLANTABLE DEVICE FOR CONTROLLING SHAPE AND/OR SIZE OF AN ANATOMICAL STRUCTURE OF A LUMEN
11/802,264 2008-0027483	US	21-May- 2007	28099-0011 CIP	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
PCT/US07/11961 WO 2007/136783	PCT	21-May- 2007	28099-0011 PCT	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
AU 2007254172	AUSTRALIA	21-May- 2007	28099-0011 AU	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
MX MX/A/2008/014769	MEXICO	21-May- 2007	28099-0011 MX	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN

Application Publication or Patent Number	Country	Filing or Priority date	Attorney Docket	Title
CA 2654359	CANADA	21-May-2007	28099-0011 CA	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
EP 07795051.7	EUROPE	21-May-2007	28099-0011 EP	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
JP 2009-512057	JAPAN	21-May-2007	28099-0011 JP	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
60/567,320	US	30-Apr-2004	28099-0012 PR	METHODS AND DEVICES FOR MODULATION OF HEART VALVE FUNCTION
PCT/US2005/015323 WO 2005/107862	PCT	29-Apr-2005	28099-0012 PCT	METHODS AND DEVICES FOR MODULATION OF HEART VALVE FUNCTION
JP 2007-511095	JAPAN	29-Apr-2005	28099-0012 JP	METHODS AND DEVICES FOR MODULATION OF HEART VALVE FUNCTION
EP 05745261.7	EUROPE	29-Apr-2005	28099-0012 EP	METHODS AND DEVICES FOR MODULATION OF HEART VALVE FUNCTION
11/587,765 US 2009-0234404	US	29-Apr-2005	28099-0012 US	METHODS AND DEVICES FOR MODULATION OF HEART VALVE FUNCTION
60/665,296	US	25-Mar-2005	28099-0007 PR	METHODS AND APPARATUS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
11/390,984 US 2006-0241748	US	27-Mar-2006	28099-0007 US	METHODS AND APPARATUS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
PCT/US2006/011275 WO 2006/105084	PCT	27-Mar-2006	28099-0007 PCT	METHODS AND APPARATUS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN



Application Publication or Patent Number	Country	Filing or 371(c) date	Attorney Docket	Title
AU 2006230162	AUSTRALIA	27-Mar-2006	28099-0007 AU	METHODS AND APPARATUS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
EP 06748801.5	EUROPE	27-Mar-2006	28099-0007 EP	METHODS AND APPARATUS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
2006503294	JAPAN	27-Mar-2006	28099-0007 JP	METHODS AND APPARATUS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
HK 08105938.6	HONG KONG	27-Mar-2006	28099-0007 HK	METHODS AND APPARATUS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
60/688,202	US	07-Jun-2005	28099-0007 PR1	METHODS AND APPARATUS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
11/449,139 US 2007-0016287	US	07-Jun-2006	28099-0007 CIP	METHODS AND APPARATUS FOR CONTROLLING THE INTERNAL CIRCUMFERENCE OF AN ANATOMIC ORIFICE OR LUMEN
60/878,068	US	03-Jan-2007	28099-0013 PR	IMPLANTABLE DEVICE FOR CONTROLLING SHAPE AND/OR SIZE OF AN ANATOMICAL STRUCTURE OR LUMEN
PCT/US08/00014 WO 2008/085814	PCT	03-Jan-2008	28099-0013 PCT	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
CA 2674485	CANADA	03-Jan-2008	28099-0013 CA	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN

Application, Publication or Patent Number	Country	Filing or Pub. date	Attorney Docket	Title
EP 08712925.0	EUROPE	03-Jan-2008	28099-0013 EP	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
IL 199701	ISRAEL	03-Jan-2008	28099-0013 IL	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
JP TBD	JAPAN	03-Jan-2008	28099-0013 JP	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
MX MX/A/2009/007289	MEXICO	03-Jan-2008	28099-0013 MX	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
12/522,089	US	02-July-2009	28099-0013	IMPLANTABLE DEVICES FOR CONTROLLING THE SIZE AND SHAPE OF AN ANATOMICAL STRUCTURE OR LUMEN
60/981,056	US	18-Oct-2007	SAB 21100- 0026	METHOD OF POST- OPERATIVE ADJUSTMENT FOR MITRAL VALVE IMPLANT
61/084,448	US	29-July-2008	28099-0020	METHOD AND SYSTEM FOR LONG TERM ADJUSTMENT OF AN IMPLANTABLE DEVICE
PCT/US09/052053	PCT	29-July-2009	28099-0020 PCT	METHOD AND SYSTEM FOR LONG TERM ADJUSTMENT OF AN IMPLANTABLE DEVICE
61/146,560	US	22-Jan-2009	28099-0024	POST-OPERATIVE ADJUSTMENT TOOL AND MINIMALLY INVASIVE ATTACHMENT APPARATUS FOR AN IMPLANTABLE DEVICE
61/157,649	US	05-Mar-2009	28099-0024A	POST-OPERATIVE ADJUSTMENT TOOL, MINIMALLY INVASIVE ATTACHMENT APPARATUS, AND ADJUSTABLE TRICUSPID RING

Application Publication or Patent Number	Country	Filing or Pub date	Attorney Docket	Title
61/146,569	US	22-Jan-2009	28099-0025	MAGNETIC DOCKING SYSTEM AND METHOD FOR THE LONG TERM ADJUSTMENT OF AN IMPLANTABLE DEVICE
60/960,927	US	18-Oct-2007	SAB 21100- 0025	IMPLANTABLE PURSE STRING SUTURE TENSIONING DEVICE
61/088,506	US	13-Aug-2008	SAB 21100- 0029	IMPLANTABLE PURSE STRING SUTURE TENSIONING DEVICE
PCT/US08/080522	PCT	20-Oct-2008	28099-0026 PCT	IMPLANTABLE PURSE STRING SUTURE TENSIONING DEVICE
60/888,214	US	05-Feb-2007	SAB 21100- 0024	MINIMALLY INVASIVE SYSTEM FOR DELIVERING AND SECURING AN ANNULAR IMPLANT
PCT/US08/53084 WO 2008/097999	PCT	05-Feb-2008	28099-0027 PCT	MINIMALLY INVASIVE SYSTEM FOR DELIVERING AND SECURING AN ANNULAR IMPLANT
12/026,424 US 2008-0306586	US	05-Feb-2008	28099-0027 US	MINIMALLY INVASIVE SYSTEM FOR DELIVERING AND SECURING AN ANNULAR IMPLANT
61/106,790	US	20-Oct-2008	28099-0028	METHOD OF POST- OPERATIVE ADJUSTMENT FOR MITRAL VALVE IMPLANT
PCT/US09/061285	PCT	20-Oct-2009	28099-0028 PCT	METHOD OF POST- OPERATIVE ADJUSTMENT FOR MITRAL VALVE IMPLANT
61/151,061	US	09-Feb-2009	28099-0029	INFLATABLE MINIMALLY INVASIVE SYSTEM FOR DELIVERING AND SECURING AN ANNULAR IMPLANT

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