

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT2739547

| SUBMISSION TYPE:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | NEW ASSIGNMENT                                                |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------|---------------|--------------------|---------------------|-------------------------------|-------------------|---------------------------------------------------------------|-----------------------|------------|--------------------|------------|-----------------|------------|------------------|------------|--------------------|------------|
| NATURE OF CONVEYANCE:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | ASSIGNMENT                                                    |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| CONVEYING PARTY DATA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                               |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| <table border="1"> <thead> <tr> <th>Name</th> <th>Execution Date</th> </tr> </thead> <tbody> <tr> <td>HOWARD RIINA</td> <td>01/15/2014</td> </tr> <tr> <td>JEFFREY MILSOM</td> <td>12/12/2013</td> </tr> <tr> <td>J. FREDERICK CORNHILL</td> <td>12/11/2013</td> </tr> <tr> <td>KEVIN THOMAS SMITH</td> <td>12/09/2013</td> </tr> <tr> <td>TUAN ANH NGUYEN</td> <td>12/10/2013</td> </tr> <tr> <td>DARREN SCHNEIDER</td> <td>02/05/2014</td> </tr> <tr> <td>CHRISTOPHER DILLON</td> <td>12/11/2013</td> </tr> </tbody> </table> |                                                               | Name          | Execution Date     | HOWARD RIINA        | 01/15/2014                    | JEFFREY MILSOM    | 12/12/2013                                                    | J. FREDERICK CORNHILL | 12/11/2013 | KEVIN THOMAS SMITH | 12/09/2013 | TUAN ANH NGUYEN | 12/10/2013 | DARREN SCHNEIDER | 02/05/2014 | CHRISTOPHER DILLON | 12/11/2013 |
| Name                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Execution Date                                                |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| HOWARD RIINA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 01/15/2014                                                    |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| JEFFREY MILSOM                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | 12/12/2013                                                    |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| J. FREDERICK CORNHILL                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | 12/11/2013                                                    |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| KEVIN THOMAS SMITH                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 12/09/2013                                                    |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| TUAN ANH NGUYEN                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 12/10/2013                                                    |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| DARREN SCHNEIDER                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 02/05/2014                                                    |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| CHRISTOPHER DILLON                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | 12/11/2013                                                    |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| RECEIVING PARTY DATA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                               |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| <table border="1"> <tr> <td>Name:</td> <td>CORNELL UNIVERSITY</td> </tr> <tr> <td>Street Address:</td> <td>395 PINE TREE ROAD, SUITE 310</td> </tr> <tr> <td>Internal Address:</td> <td>CORNELL CENTER FOR TECHNOLOGY, ENTERPRISE &amp; COMMERCIALIZATION</td> </tr> <tr> <td>City:</td> <td>ITHACA</td> </tr> <tr> <td>State/Country:</td> <td>NEW YORK</td> </tr> <tr> <td>Postal Code:</td> <td>14850</td> </tr> </table>                                                                                                    |                                                               | Name:         | CORNELL UNIVERSITY | Street Address:     | 395 PINE TREE ROAD, SUITE 310 | Internal Address: | CORNELL CENTER FOR TECHNOLOGY, ENTERPRISE & COMMERCIALIZATION | City:                 | ITHACA     | State/Country:     | NEW YORK   | Postal Code:    | 14850      |                  |            |                    |            |
| Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | CORNELL UNIVERSITY                                            |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Street Address:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 395 PINE TREE ROAD, SUITE 310                                 |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Internal Address:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | CORNELL CENTER FOR TECHNOLOGY, ENTERPRISE & COMMERCIALIZATION |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| City:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | ITHACA                                                        |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| State/Country:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | NEW YORK                                                      |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Postal Code:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 14850                                                         |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| PROPERTY NUMBERS Total: 1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                               |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| <table border="1"> <thead> <tr> <th>Property Type</th> <th>Number</th> </tr> </thead> <tbody> <tr> <td>Application Number:</td> <td>13648177</td> </tr> </tbody> </table>                                                                                                                                                                                                                                                                                                                                                       |                                                               | Property Type | Number             | Application Number: | 13648177                      |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Property Type                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | Number                                                        |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Application Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | 13648177                                                      |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| CORRESPONDENCE DATA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                               |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Fax Number:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | (781)290-4840                                                 |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Phone:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | 781-290-0060                                                  |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Email:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | mail@pandisciolaw.com                                         |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| <i>Correspondence will be sent via US Mail when the email attempt is unsuccessful.</i>                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                               |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Correspondent Name:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | MARK J. PANDISCIO                                             |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Address Line 1:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | 436 BOSTON POST ROAD                                          |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Address Line 2:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | PANDISCIO & PANDISCIO                                         |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |
| Address Line 4:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | WESTON, MASSACHUSETTS 02493                                   |               |                    |                     |                               |                   |                                                               |                       |            |                    |            |                 |            |                  |            |                    |            |

|                                                                                                                                                                                                  |                    |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------|
| ATTORNEY DOCKET NUMBER:                                                                                                                                                                          | CORN-3132          |
| NAME OF SUBMITTER:                                                                                                                                                                               | ROBERT M. CARLEY   |
| Signature:                                                                                                                                                                                       | /Robert M. Carley/ |
| Date:                                                                                                                                                                                            | 02/24/2014         |
| <p>Total Attachments: 5<br/>source=CORN3132ASN#page1.tif<br/>source=CORN3132ASN#page2.tif<br/>source=CORN3132ASN#page3.tif<br/>source=CORN3132ASN#page4.tif<br/>source=CORN3132ASN#page5.tif</p> |                    |

## ASSIGNMENT

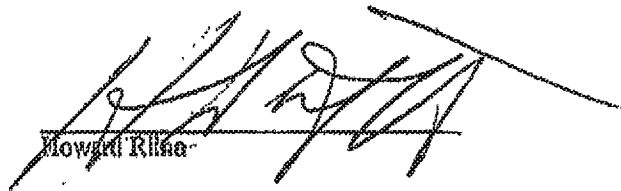
WHEREAS, We, Howard Rifkin, a United States citizen, residing at 125 Birchall Drive, Scarsdale, NY 10583, Jeffrey Milson, a United States citizen, residing at 7 Grace Square, Apt. 5B, New York, NY 10028, J. Frederick Cornhill, a Canadian citizen, residing at 800 Fifth Avenue, Apt. 11B, New York, NY 10065, Kevin Thomas Smith, a United States citizen, residing at 149 Frederick Street, Stamford, CT 06902, Tuan Anh Nguyen, a United States citizen, residing at 67 Willow Street, Woburn, MA 01801, Darren Schneider, a United States citizen, residing at 1330 1st Avenue, Apt. 617, New York, NY 10021 and Christopher Dillon, a United States citizen, residing at 641 Lexington Avenue, Floor 25, New York, NY 10022, have invented certain new and useful improvements in METHOD AND APPARATUS FOR RESTRICTING FLOW THROUGH AN OPENING IN THE SIDE WALL OF A BODY LUMEN, AND/OR FOR REINFORCING A WEAKNESS IN THE SIDE WALL OF A BODY LUMEN, WHILE STILL MAINTAINING SUBSTANTIALLY NORMAL FLOW THROUGH THE BODY LUMEN for which an application for Letters Patent in the United States was filed as U.S. Serial No. 13/648,177 on October 9, 2012;

AND WHEREAS, Cornell University, with its principal place of business at Cornell Center for Technology, Enterprise & Commercialization ("CCTEC"), 395 Fine Tree Road, Suite 310, Ithaca, New York 14850 USA, is entitled to acquire the entire right, title and interest in and to the said improvements and the said Application:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said Cornell University, its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals, and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, 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 improvements to the said Cornell University, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

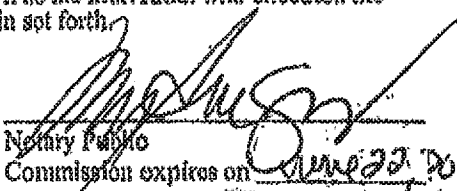
AND WE HEREBY covenant and agree that we will communicate to the said Cornell University, its successors, legal representatives, and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, and reissue applications, make all rightful oaths and generally do everything possible to aid the said Cornell University, its successors, legal representatives, and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 15 day  
of JANUARY, 2014

  
Howard Rilla

STATE OF New York  
COUNTY OF New York SS:

This 15 day of JANUARY, 2014, before me personally came the  
above-named Howard Rilla, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

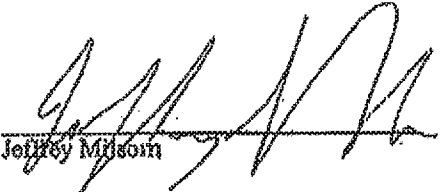
  
Notary Public

Commission expires on June 22, 2017

PHILLIP RODRIGUEZ  
Notary Public, State of New York  
No. 01RO6208170

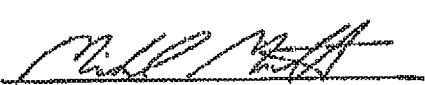
Qualified in Queens County  
My Commission Expires June 22, 2017

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 12 day  
of December, 2013

  
Jeffrey Milson

STATE OF New York  
COUNTY OF QUEENS SS:

This 12 day of December, 2013, before me personally came the  
above-named Jeffrey Milson, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

  
Notary Public

Commission expires on 8/4/16

MICHAEL MITCHELL  
NOTARY PUBLIC-STATE OF NEW YORK  
No. 01MI6191160  
Qualified in Queens County  
My Commission Expires August 04, 2016  


CORN-3132

PATENT

REEL: 032283 FRAME: 0284

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 11 day  
of December, 2013

  
J. Frederick Cornhill

STATE OF New York  
COUNTY OF Albany SS:

This 11<sup>th</sup> day of December, 2013, before me personally came the  
above-named J. Frederick Cornhill, to me personally known as the individual who executed  
the same of his/her own free will for the purposes therein set forth.

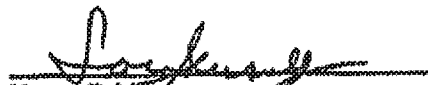
  
Notary Public  
Commission expires on 9/30/17  
DEBORAH ANN HIGGINS  
Notary Public, State of New York  
No. 01H14652817  
Qualified in New York County  
Commission Expires 9/30/17

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 9<sup>th</sup> day  
of December, 2013

  
Kevin Thomas Smith

STATE OF Georgia  
COUNTY OF Douglas SS:

This 9<sup>th</sup> day of December, 2013, before me personally came the  
above-named Kevin Thomas Smith, to me personally known as the individual who executed  
the same of his/her own free will for the purposes therein set forth.

  
Notary Public  
Commission expires on 2/28/17

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 10 day  
of December, 2013

  
Tuan Anh Nguyen

STATE OF New York  
COUNTY OF New York SS:

This 10<sup>th</sup> day of DECEMBER, 2013, before me personally came the  
above-named Tuan Anh Nguyen, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

  
Notary Public  
Commission expires on 9/30/17

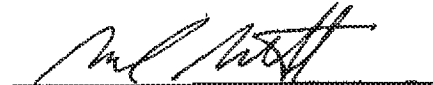
DEBORAH ANN HIGGINS  
Notary Public, State of New York  
No. 01HI4682617  
Qualified in New York County  
Commission Expires 9/30/17

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 5<sup>th</sup> day  
of February, 2013

  
Darren Schneider

STATE OF NEW YORK  
COUNTY OF QUEENS SS:

This 5 day of FEBRUARY, 2013, before me personally came the  
above-named Darren Schneider, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

  
Notary Public  
Commission expires on 8/4/16

MICHAEL MITCHELL  
NOTARY PUBLIC-STATE OF NEW YORK  
No. 01MI6191180  
Qualified in Queens County  
My Commission Expires August 04, 2016

CORN-3132

  
PATENT  
REEL: 032283 FRAME: 0286

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 11 day  
of December, 2013

  
Christopher Dillon

STATE OF New York  
COUNTY OF New York SS:

This 11th day of December, 2013, before me personally came the  
above-named Christopher Dillon, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

  
Notary Public  
Commission expires on 9/30/17

DEBORAH ANN HIGGINS  
Notary Public, State of New York  
No. 01HI4832817  
Qualified in New York County  
Commission Expires 9/30/17

MM/CORN/3132.A5N1

CORN-3132