

## PATENT ASSIGNMENT COVER SHEET

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EPAS ID: PAT2941527

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
CHARLES BARKENBUS	02/15/2013
JULIE TROMMETER	02/21/2013
JEFFREY C. CASTLEBERRY	02/15/2013
WILLIAM ALDRICH	02/25/2013
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ENDOSHAPE, INC.
<b>Street Address:</b>	2450 CENTRAL AVENUE
<b>Internal Address:</b>	SUITE I
<b>City:</b>	BOULDER
<b>State/Country:</b>	COLORADO
<b>Postal Code:</b>	80301
<b>PROPERTY NUMBERS Total: 2</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	14372668
<b>PCT Number:</b>	US2013021987
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(303)629-3450
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Email:</b>	Docketing-DV@dorsey.com
<b>Correspondent Name:</b>	DORSEY & WHITNEY LLP
<b>Address Line 1:</b>	1400 WEWATTA STREET
<b>Address Line 2:</b>	SUITE 400
<b>Address Line 4:</b>	DENVER, COLORADO 80202-5549
<b>ATTORNEY DOCKET NUMBER:</b>	P230737.WO.01; WO-US.01
<b>NAME OF SUBMITTER:</b>	DEBRA J. MARQUETTE
<b>SIGNATURE:</b>	/Debra J. Marquette/
<b>DATE SIGNED:</b>	07/16/2014
<b>Total Attachments: 7</b>	
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PATENT ASSIGNMENT

PARTIES TO THE ASSIGNMENT:

Assignor:

Charles Barkenbus  
3798 Oakwood Drive  
Longmont, Colorado 80503  
United States

Jeffrey C. Castleberry  
6224 Trevarton Dr.  
Longmont, Colorado 80503  
United States

Julie Trommeter  
2600 Fairfax Street  
Denver, Colorado 80207  
United States

William Aldrich  
P.O. Box 6528  
Napa, California 94581

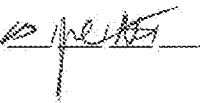
Assignee:

EndoShape, Inc.  
2450 Central Avenue, Suite I  
Boulder, Colorado 80301  
United States  
State of Incorporation: Delaware

PATENT APPLICATION SUBJECT TO THE ASSIGNMENT:

Serial Number..... PCT/US2013/021987  
Filing Date..... 17 January 2013  
Attorney Docket No. .... P230737.WO.01  
Title: OCCLUSION DEVICE FOR A VASCULAR OR BIOLOGICAL LUMEN

WHEREAS, the Assignor(s) identified above (hereinafter, individually and collectively the "Assignor"), have invented certain new and useful processes, methods, machines, devices, systems, manufactures, and/or compositions of matter, or new and useful improvements thereof (the "Invention"), disclosed and described in an application for Letters Patent under the Patent Cooperation Treaty designating, among other nations, the United States ("U.S.") filed on the filing date indicated above in the United States Patent and Trademark Office ("USPTO") as Receiving Office and identified by the title, application number, and/or attorney docket number indicated above (the "Patent Application"); and

Assignor's Initials: 

WHEREAS, Assignee, a corporation organized and existing under the laws of the State indicated above, and having its principal place of business at the address indicated above, desires to acquire the entire right, title, and interest of Assignor in and to the Invention, the Provisional Application, and in, to, and under any and all Letters Patent to be obtained therefor;

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, Assignor has sold, assigned, and transferred and does hereby sell, assign, and transfer to the Assignee, its successors, legal representatives, and assigns, the entire right, title and interest in and to the Invention, the Patent Application, and any and all U.S. national application filings claiming priority thereto, including all divisional, continuation, continuation-in-part, and continuing prosecution applications that claim priority thereto, and any reexamination and reissue applications thereof; all international, regional, and foreign applications that claim priority to, are counterparts of, or otherwise correspond thereto; the Letters Patent, both in the United States and in countries or regions foreign thereto, that may or shall issue or have issued therefrom; any extensions, substitutes, or renewals thereof; the right to claim priority to the filing date of the Patent Application; any right, title, or interest in and to the Invention under any international conventions; and any and all rights to collect past damages for infringement of any provisional rights and of any and all Letters Patent of the United States and any countries and regions foreign thereto which may be, shall be, or have been published, which may be, shall be, or have been granted, or which may be lodged (collectively "the Patent Rights");

In the event that the Patent Application claims priority to a provisional application previously filed and the provisional application was previously subject to an assignment from the Assignor, or one or more thereof, to the Assignee, this Assignment shall be considered a confirmatory assignment thereof; and

Assignor further authorizes said Assignee, its successors, and assigns, or anyone it may properly designate, to apply for Letters Patent in the U.S. and any and all foreign countries and regions, in its own name if desired, and otherwise take advantage of the provisions of any international conventions; and

Assignor hereby authorizes and requests transfer of the Patent Application and any further applications, which may be or shall have been filed under the Patent Rights, to the Assignee in accordance herewith and further authorizes and requests any official of any State whose duty consists of issuing patents or other evidence or forms of any industrial property protection issuing from the Patent Application and all related applications, to issue same to the Assignee, its successors, and assigns in accordance herewith; and

Assignor hereby authorizes Assignee, its successors and assigns, or anyone it may properly designate, to insert in this instrument the application number and filing date of the Patent Application once known.

Assignor represents and warrants that Assignor has the right, title, and authority to execute this Assignment and to convey all right, title, and interest in the Patent Rights, and that Assignor has not conveyed nor will convey hereafter all or part of the Patent Rights to a third party, and Assignor hereby covenants and agrees with the Assignee, its successors and assigns, that Assignor will not execute in writing or do any act whatsoever conflicting with these representations; and

Assignor's Initials: SPK

Assignor, on behalf of any individuals associated with the filing or prosecution of the Patent Application in Assignor's employ or under its control, agrees to disclose to the Assignee any information, including, but not limited to, prior art references, that Assignor is presently aware of or becomes aware of in the future that would materially affect the patentability of the Invention or the Patent Application or the present or future validity of the Patent Rights; and

Assignor, Assignor's successors, legal representatives, or administrators will at any time upon request, without further or additional consideration, but at the expense of the Assignee, its successors, and assigns, execute such additional writings and do such additional acts as said Assignee, its successors, and assigns, may deem necessary or desirable to perfect the Assignee's enjoyment of this grant, and render all necessary assistance in making application for, obtaining, and enforcing any of the Patent Rights, including giving testimony in any proceedings or transactions involving such Patent Rights; and

Assignor further covenants and agrees that this Assignment is effective as of 17 January 2013.

IN WITNESS WHEREOF, the Assignor hereunto has executed this Assignment upon the date indicated below.

STATE OF COLORADO )  
CITY OF ) ss.  
COUNTY OF )

By: 

Charles Barkenbus

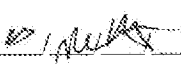
Dated: 2/15/13


Before me, a Notary Public in and for said County and State, personally appeared Charles Barkenbus, who executed the foregoing instrument for the purposes and considerations therein expressed.

Given under my hand and seal of office this 15 day of February, 2013.

  
Notary Public

My Commission Expires: July 24, 2013

Assignor's Initials: 

STATE OF COLORADO CITY OF COUNTY OF	) ) ss. )	
		By: <u><i>Julie Trommeter</i></u> Julie Trommeter
		Dated: <u>2/21/13</u>
Before me, a Notary Public in and for said County and State, personally appeared Julie Trommeter, who executed the foregoing instrument for the purposes and considerations therein expressed.		
Given under my hand and seal of office this <u>21st</u> day of <u>February</u> , 2013.		
<u><i>Sharon Donohue</i></u> Notary Public		My Commission Expires: <u>02-22-2013</u>

STATE OF COLORADO CITY OF COUNTY OF	) ) ss. )	
SEAL		By: <u>Jeffrey C. Castleberry</u>
		Dated: _____
Before me, a Notary Public in and for said County and State, personally appeared Jeffrey C. Castleberry, who executed the foregoing instrument for the purposes and considerations therein expressed.		
Given under my hand and seal of office this _____ day of _____, 2013.		
_____ Notary Public		My Commission Expires: _____

Assignor's Initials: *JK*

STATE OF COLORADO )  
 CITY OF ) ss.  
 COUNTY OF )

SEAL

By: \_\_\_\_\_  
 Julie Trommeter

Dated: \_\_\_\_\_

Before me, a Notary Public in and for said County and State, personally appeared Julie Trommeter, who executed the foregoing instrument for the purposes and considerations therein expressed.

Given under my hand and seal of office this \_\_\_\_\_ day of \_\_\_\_\_, 2013.

\_\_\_\_\_  
 Notary Public

My Commission Expires: \_\_\_\_\_

STATE OF COLORADO )  
 CITY OF ) ss.  
 COUNTY OF )

SEAL

By: \_\_\_\_\_  
 Jeffrey C. Castleberry

Dated: 2/15/13

Before me, a Notary Public in and for said County and State, personally appeared Jeffrey C. Castleberry, who executed the foregoing instrument for the purposes and considerations therein expressed.

Given under my hand and seal of office this 15 day of February, 2013.

Samuel L. Clark  
 Notary Public

My Commission Expires: July 24, 2013

Assignor's Initials: WJ/KH

STATE OF COLORADO )  
CITY OF ) ss.  
COUNTY OF )

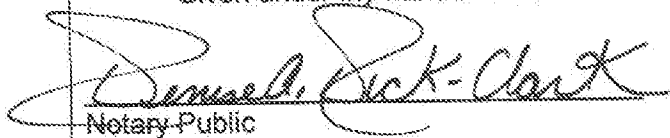
By: 

William Aldrich

Dated: 2/25/13

Before me, a Notary Public in and for said County and State, personally appeared Charles Barkenbus, who executed the foregoing instrument for the purposes and considerations therein expressed.

Given under my hand and seal of office this 25 day of February, 2013.

  
Notary PublicMy Commission Expires: July 24, 2013Assignor's Initials: CB



The Assignee hereby acknowledges and accepts the foregoing assignment of rights by Assignor.

IN TESTIMONY WHEREOF, the Assignee, by its undersigned officer, confirms its acceptance on the date set forth below.

ASSIGNEE: EndoShape, Inc.

Dated: 2/27/13 \_\_\_\_\_  
(signature)

Place: Boulder Co By: JEFF CASZUBSKI  
(printed name of authorized agent of assignee)

Its: COO  
(title)

[Signature]  
(Witness #1: signature)

Denise A. Dick-Clark  
(Witness #1: printed name)

[Signature]  
(Witness #2: signature)

Michael C. Parmenter  
(Witness #2: printed name)

Assignor's Initials: DA

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