

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT4384397

|   |   |
|---|---|
| <b>SUBMISSION TYPE:</b>   | NEW ASSIGNMENT                          |
| <b>NATURE OF CONVEYANCE:</b>  | ASSIGNMENT                              |
| <b>CONVEYING PARTY DATA</b>   |   |
| <b>Name</b>   | <b>Execution Date</b>                   |
| JEFFREY A. LAROSE   | 04/25/2017                              |
| CARLOS REYES  | 04/10/2017                              |
| CHARLES R. SHAMBAUGH  | 04/10/2017                              |
| <b>RECEIVING PARTY DATA</b>   |   |
| <b>Name:</b>  | HEARTWARE, INC.                         |
| <b>Street Address:</b>  | 14420 NW 60TH AVENUE                    |
| <b>City:</b>  | MIAMI LAKES                             |
| <b>State/Country:</b>   | FLORIDA                                 |
| <b>Postal Code:</b>   | 33014                                   |
| <b>PROPERTY NUMBERS Total: 1</b>  |   |
| <b>Property Type</b>  | <b>Number</b>                           |
| <b>Application Number:</b>  | 15475432                                |
| <b>CORRESPONDENCE DATA</b>  |   |
| <b>Fax Number:</b>  | (954)828-9122                           |
| <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>Phone:</b>   | 954-828-1488                            |
| <b>Email:</b>   | ptomail@cwiplaw.com                     |
| <b>Correspondent Name:</b>  | JOHN CHRISTOPHER                        |
| <b>Address Line 1:</b>  | CHRISTOPHER & WEISBERG, P.A.            |
| <b>Address Line 2:</b>  | 200 EAST LAS OLAS BOULEVARD, SUITE 2040 |
| <b>Address Line 4:</b>  | FORT LAUDERDALE, FLORIDA 33301          |
| <b>ATTORNEY DOCKET NUMBER:</b>  | 21819H-1111U                            |
| <b>NAME OF SUBMITTER:</b>   | JOHN CHRISTOPHER                        |
| <b>SIGNATURE:</b>   | /John Christopher/                      |
| <b>DATE SIGNED:</b>   | 04/25/2017                              |
| <b>Total Attachments: 4</b>   |   |
| source=Assignment_21819H-1111U#page1.tif  |   |
| source=Assignment_21819H-1111U#page2.tif  |   |
| source=Assignment_21819H-1111U#page3.tif  |   |



**ASSIGNMENT OF APPLICATION**

Whereas I/we, the below named inventor(s), with residence and citizenship as indicated below, have made an invention in

|  |
|--|
| AXIAL FLOW BLOOD PUMP WITH RADially OFFSET ROTOR |
|--|

- ☐ for which an application for a United States Patent or a U.S. Provisional Application is being filed contemporaneously herewith;
- ☐ for which an application for a United States Patent identified as U.S. Patent Application No. ; was filed on ;
- ☒ for which an application for a U.S. Provisional Application No. **15/475432**; was filed on **March 31, 2017** ;
- ☐ for which above application claims priority to U.S. Provisional Patent Application No. ; filed on ;
- ☐ which application is identified as PCT International Patent Application No. ; filed ;

Whereas, HeartWare, Inc. a corporation organized and existing under the laws of the State of Delaware and having a principal place of business at 14420 NW 60<sup>th</sup> Avenue, Miami Lakes, Florida 33014, hereinafter referred to as "Corporation," is desirous of acquiring the entire right, title and interest in and to said invention for the United States and for all foreign countries and in and to any and all foreign and domestic Letters Patent which may be granted therefore;

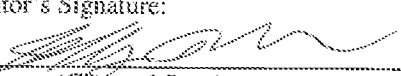
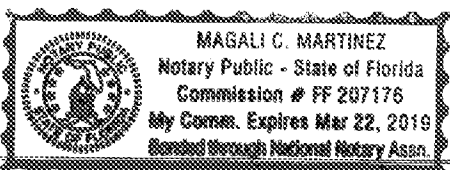
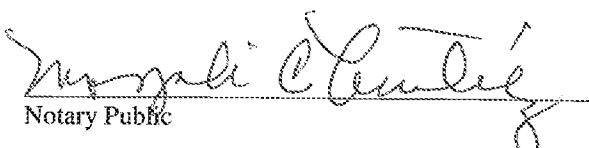
NOW, Therefore, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, we have sold, assigned, transferred and set over and by these presents do sell, assign, transfer and set over unto Corporation, its successors and assigns, the entire right, title and interest in and to said invention and the entire right, title and interest in and to any and all Letters Patent of the United States and any foreign countries which may be granted therefore including our rights under the International Convention for the Protection of Industrial Property, and in and to any and all extensions, divisions, continuations, continuations-in-part or reissues of said Letters Patent that may be granted, the same to be held and enjoyed by Corporation for its own use and benefit and use and benefit of its successors and assigns to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held and enjoyed by me had this assignment and sale not been made, including the right to enforce such Letters Patent as fully and entirely as the same would have been held and enjoyed by the assignors if this assignment had not been made; together with all claims by assignors for damages by reason of past infringement or for provisional rights and including the right to sue for, and collect the same for its own use and benefit, and for the use and benefit of its successors, assigns, and other legal representatives;

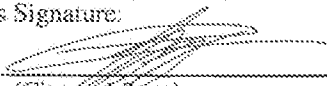
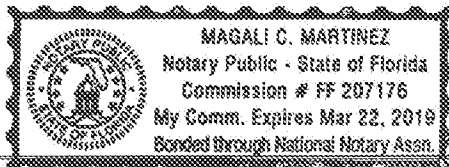
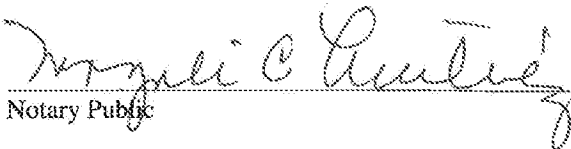
AND, for the consideration aforesaid, we materially represent to Corporation, its successors and assigns, that at the time of the execution and delivery of these presents, we are the sole lawful owners of the entire right, title and interest in and to the invention, application and Letters Patent above mentioned, and that the same are unencumbered, and that we have good right and lawful authority to sell and convey the same in the manner herein set forth;

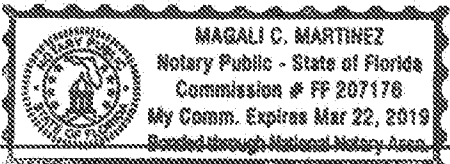
AND, for the consideration aforesaid, we hereby individually covenant and agree to and with Corporation, its successors and assigns, that whenever its counsel or the counsel of its successors or assigns, learned in the law, shall advise that an amendment or division of, or continuation or any continuation-in-part thereof, or any other proceeding in connection with the filing or prosecution of said domestic or foreign patent applications, including interference proceedings, is lawful and desirable, or that a reissue of extension of said Letters Patent is lawful and desirable, we, or our executors, administrators or assigns will sign all papers and drawings, take all rightful oaths, and do all acts necessary or required to be done for the procurement of valid Letters Patent for said invention, or for the reissue or extension of the same, without charge to Corporation, its successors or assigns, but at Corporation's expense.

I/We do hereby authorize and request the Commissioner of Patents to issue any and all Letters Patent which may be granted upon any of the said applications, to said HeartWare, Inc., as the assignee of the entire right, title, and interest therein.

In witness whereof, I/we have signed my/our name(s) on the day and year set forth below.

|   |   |   |   |
|---|---|---|---|
| Given Name (first and middle initial [if any]):<br>Jeffrey A.   |   | Family Name or Surname (last name):<br>LAROSE |   |
| Inventor's Signature:<br>  |   | Date:<br>25 APRIL 2017                        |   |
| Residence (City and State):<br>Sunrise, FL  |   | Country:<br>US                                | Citizenship:<br>US  |
| STATE OF Florida )<br>COUNTY OF Miami-Dade ) ss.<br>On this 25 <sup>th</sup> day of April, 2017, before me personally appeared the above-named, and who executed the foregoing instrument, as said person's free act and deed, on the day and year aforesaid. |   |   |   |
| (Seal)  |  |   | <br>Notary Public |

|  |   |  |   |
|--|---|--|---|
| Given Name (first and middle initial [if any]):<br>Carlos  |   | Family Name or Surname (last name):<br>REYES |   |
| Inventor's Signature:<br>   |   | Date:<br>Apr 10, 2017                        |   |
| Residence (City and State):<br>Davie, FL   |   | Country:<br>US                               | Citizenship:<br>US  |
| STATE OF Florida )<br>COUNTY OF <sup>Miami</sup> <del>Dade</del> ) ss.<br>On this 10 <sup>th</sup> day of April, 2017, before me personally appeared the above-named,<br>and who executed the foregoing instrument, as said person's free act and deed, on the day and year aforesaid. |   |  |   |
| (Seal)   |  |  | <br>Notary Public |

|  |   |  |  |
|--|---|--|--|
| Given Name (first and middle initial [if any]):<br>Charles R.  |   | Family Name or Surname (last name):<br>SHAMBAUGH |  |
| Inventor's Signature:<br><i>Charles R. Shambaugh</i>   |   | Date:<br>APR, 10/2017                            |  |
| Residence (City and State):<br>Coral Gables, FL  |   | Country:<br>US                                   | Citizenship:<br>US                         |
| STATE OFF (OWN G.O.)<br>COUNTY OF <i>Miami Dade</i> ss.<br>On this <i>10</i> day of <i>April</i> , 2017, before me personally appeared the above-named,<br>and who executed the foregoing instrument, as said person's free act and deed, on the day and year aforesaid. |   |  |  |
| (Seal)   |  |  | <i>Magali C. Martinez</i><br>Notary Public |