

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT6155640

| | |
|---|------------------------|
| SUBMISSION TYPE: | NEW ASSIGNMENT |
| NATURE OF CONVEYANCE: | CORRECTED ASSIGNMENT |
| CONVEYING PARTY DATA | |
| Name | Execution Date |
| ROBERT J. WEBSTER | 02/16/2018 |
| KATHERINE E. RIOJAS | 02/16/2018 |
| RECEIVING PARTY DATA | |
| Name: | VANDERBILT UNIVERSITY |
| Street Address: | 305 KIRKLAND HALL |
| Internal Address: | 2201 WEST END AVENUE |
| City: | NASHVILLE |
| State/Country: | TENNESSEE |
| Postal Code: | 37240 |
| PROPERTY NUMBERS Total: 1 | |
| Property Type | Number |
| Application Number: | 15804146 |
| CORRESPONDENCE DATA | |
| Fax Number: | (216)621-4072 |
| <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> | |
| Phone: | 2166212234 |
| Email: | vmaichl@tarolli.com |
| Correspondent Name: | RICHARD S. WESORICK |
| Address Line 1: | 1300 EAST NINTH STREET |
| Address Line 2: | SUITE 1700 |
| Address Line 4: | CLEVELAND, OHIO 44114 |
| ATTORNEY DOCKET NUMBER: | VU-027104 US PRI |
| NAME OF SUBMITTER: | RICHARD S. WESORICK |
| SIGNATURE: | /Richard S. Wesorick/ |
| DATE SIGNED: | 06/16/2020 |
| This document serves as an Oath/Declaration (37 CFR 1.63). | |
| Total Attachments: 5 | |
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| source=VU-027104-DecAssn_VU_REVISED#page2.tif | |

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PATENT

REEL: 053588 FRAME: 0613

COMBINATION ASSIGNMENT-STATEMENT

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION
USING AN APPLICATION DATA SHEET (37 CFR 1.76) AND ASSIGNMENT FOR SINGLE ASSIGNEE**

Title of Invention: **SURGICAL DEVICE TIP WITH DEFLECTABLE JOINT**

DECLARATION

As a below named inventor I hereby declare that:

- This declaration is directed to:
 - ☐ The attached application, or
 - ☒ United States application or PCT international application number 15/804,146 filed on November 6, 2017.
- The above-identified application was made or authorized to be made by me.
- I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.
- I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 USC 1001 by fine or imprisonment of not more than five (5) years, or both.

ASSIGNMENT

WHEREAS, **Vanderbilt University** having an office and place of business at **305 Kirkland Hall, 2201 West End Avenue, Nashville, Tennessee, 37240, USA**, is desirous of acquiring the entire interest in the same;

NOW, THEREFORE, for good and valuable consideration, as described in the Policy on Technology and Literary and Artistic Works, published in the 1993-1994 Vanderbilt Faculty Manual, as such policy is amended from time to time, the sufficiency and adequacy and receipt of which are hereby acknowledged, I, the **INVENTOR**, agree to assign and hereby do sell, assign and transfer unto said **VANDERBILT UNIVERSITY** the entire right, title and interest in and to said invention and application throughout the world, including, without limitation, any Letters Patent which may issue thereon, and any subsequent application claiming priority to the above-identified application, reissue, reexamination, divisional, continuation-in-part, extension or continuation thereof and all rights of priority under the Paris Convention arising from said application, and all other rights in the **INVENTION** possessed by the **INVENTOR**, including the right to bring suit for damages due to past infringements; the same for **VANDERBILT UNIVERSITY'S** legal representatives and assigns, as fully and entirely as the same would have been held by us had this assignment and sale not been made;

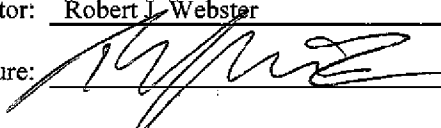
AND, I hereby bind myself, my heirs, legal representatives, administrators and assign properly to execute without further consideration any and all applications, petitions, oaths and assignments or other papers and instruments which may be necessary in order to carry into full force and effect, the sale, assignment, transfer and conveyance hereby made or intended to be made and generally do everything possible to aid **VANDERBILT UNIVERSITY**, its legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries throughout the world;

AND, I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

LEGAL NAME OF INVENTOR

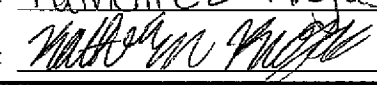
Inventor: Robert J. Webster

Date: 2/16/18

Signature: 

Witness: Katherine E. Rojas

Date: 2/16/18

Signature: 

PATENT

REEL: 053588 FRAME: 0614

COMBINATION ASSIGNMENT-STATEMENT

**DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION
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- This declaration is directed to:
 - ☐ The attached application, or
 - ☒ United States application or PCT international application number 15/804,146 filed on November 6, 2017.
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- I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.
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ASSIGNMENT

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NOW, THEREFORE, for good and valuable consideration, as described in the Policy on Technology and Literary and Artistic Works, published in the 1993-1994 Vanderbilt Faculty Manual, as such policy is amended from time to time, the sufficiency and adequacy and receipt of which are hereby acknowledged, I, the **INVENTOR**, agree to assign and hereby do sell, assign and transfer unto said **VANDERBILT UNIVERSITY** the entire right, title and interest in and to said invention and application throughout the world, including, without limitation, any Letters Patent which may issue thereon, and any subsequent application claiming priority to the above-identified application, reissue, reexamination, divisional, continuation-in-part, extension or continuation thereof and all rights of priority under the Paris Convention arising from said application, and all other rights in the **INVENTION** possessed by the **INVENTOR**, including the right to bring suit for damages due to past infringements; the same for **VANDERBILT UNIVERSITY'S** legal representatives and assigns, as fully and entirely as the same would have been held by us had this assignment and sale not been made;


AND, I hereby bind myself, my heirs, legal representatives, administrators and assign properly to execute without further consideration any and all applications, petitions, oaths and assignments or other papers and instruments which may be necessary in order to carry into full force and effect, the sale, assignment, transfer and conveyance hereby made or intended to be made and generally do everything possible to aid **VANDERBILT UNIVERSITY**, its legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries throughout the world;

AND, I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

LEGAL NAME OF INVENTOR

Inventor: Katherine E. Riojas

Date: 2/16/18

Signature: 

Witness: 

Date: 2/16/18

Signature: Robert T. Webster

PATENT

REEL: 053588 FRAME: 0615

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)

Robert J. Webster
Katherine E. Riojas

2. Name and address of receiving party(ies)

Name: Vanderbilt University

Internal Address: 2201 West End Avenue

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

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

Execution Date(s) 2/16/2018, 2/16/2018

☐ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Joint Research Agreement

☐ Government Interest Assignment

☐ Executive Order 9424, Confirmatory License

☒ Other Corrective Assignment

Street Address: 305 Kirkland Hall

City: Nashville

State: Tennessee

Country: US Zip: 37240

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

4. Application or patent number(s):

☒ This document serves as an Oath/Declaration (37 CFR 1.63).

A. Patent Application No.(s)

B. Patent No.(s)

15804146

Additional numbers attached? ☐ Yes ☒ No

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

Name: Richard S. Wesorick

Internal Address: Suite 1700

Street Address: 1300 East Ninth Street

City: Cleveland

State: OH Zip: 44114

Phone Number: 216-621-2234

Docket Number: VU-027104 US PRI

Email Address: vmaichl@tarolli.com

6. Total number of applications and patents involved: 1

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

☒ Authorized to be charged to deposit account

☐ Enclosed

☐ None required (government interest not affecting title)

8. Payment Information

Deposit Account Number 20-0090

Authorized UserName Richard S. Wesorick

9. Signature: /Richard S. Wesorick/

2020-06-04

Signature

Date

Richard S. Wesorick

Name of Person Signing

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

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

PATENT

REEL: 053588 FRAME: 0616

Guidelines for Completing Patents Cover Sheets (PTO-1595)

Cover Sheet information must be submitted with each document to be recorded. If the document to be recorded concerns both patents and trademarks separate patent and trademark cover sheets, including any attached pages for continuing information, must accompany the document. All pages of the cover sheet should be numbered consecutively, for example, if both a patent and trademark cover sheet is used, and information is continued on one additional page for both patents and trademarks, the pages of the cover sheet would be numbered from 1 to 4.

Item 1. Name of Conveying Party(ies).

Enter the full name of the party(ies) conveying the interest. If there is insufficient space, enter a check mark in the "Yes" box to indicate that additional information is attached. The name of the additional conveying party(ies) should be placed on an attached page clearly identified as a continuation of the information Item 1. Enter a check mark in the "No" box, if no information is contained on an attached page. If the document to be recorded is a joint research agreement, enter the name(s) of the party(ies) other than the owner of the patent or patent application as the conveying party(ies).

Item 2. Name and Address of Receiving Party(ies).

Enter the name and full address of the first party receiving the interest. If there is more than one party receiving the interest, enter a check mark in the "Yes" box to indicate that additional information is attached. Enter a check mark in the "No" box, if no information is contained on an attached page. If the document to be recorded is a joint research agreement, enter the name(s) of the patent or patent application owner(s) as the receiving party.

Item 3. Nature of Conveyance/Execution Date(s).

Enter the execution date(s) of the document. It is preferable to use the name of the month, or an abbreviation of that name, in order that confusion over dates is minimized. Place a check mark in the appropriate box describing the nature of the conveying document. If the "Other" box is checked, specify the nature of the conveyance.

Item 4. Application Number(s) or Patent Number(s).

Indicate the application number(s), and/or patent number(s) against which the document is to be recorded. National application numbers must include both the series code and a six-digit number (e.g., 07/123,456), and international application numbers must be complete (e.g., PCT/US91/12345).

Enter a check mark in the appropriate box: "Yes" or "No" if additional numbers appear on attached pages. Be sure to identify numbers included on attached pages as the continuation of Item 4. Also enter a check mark if this Assignment is being filed as an Oath/Declaration (37 CFR 1.63).

Item 5. Name and Address of Party to whom correspondence concerning the document should be mailed.

Enter the name and full address of the party to whom correspondence is to be mailed.

Item 6. Total Applications and Patents involved.

Enter the total number of applications and patents identified for recordation. Be sure to include all applications and patents identified on the cover sheet and on additional pages.

Block 7. Total Fee Enclosed.

Enter the total fee enclosed or authorized to be charged. A fee is required for each application and patent against which the document is recorded.

Item 8. Payment Information.

Enter the deposit account number and authorized user name to authorize charges.

Item 9. Signature.

Enter the name of the person submitting the document. The submitter must sign and date the cover sheet. Enter the total number of pages including the cover sheet, attachments, and document.

This collection of information is required by 35 USC 261 and 262 and 15 USC 1057 and 1060. The information is used by the public to submit (and by the USPTO to process) patent and trademark assignment requests. After the USPTO records the information, the records for patent and trademarks, assignments, and other associated documents can be inspected by the public. To view documents recorded under secrecy orders or documents recorded due to the interest of the federal government, a written authorization must be submitted. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the form to the USPTO. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Manager of the Assignment Division, USPTO, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, VA 22313-1450.

Privacy Act Statement for Patent Assignment Recordation Form Cover Sheet

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with the above request for information. This collection of information is authorized by 35 U.S.C. 1, 2, 261 and E.O. 9424. This information will primarily be used by the USPTO for the recordation of assignments related to patents and patent applications. Submission of this information is voluntary but is required in order for the USPTO to record the requested assignment. If you do not provide the information required on the cover sheet, the assignment will not be recorded, and all documents will be returned to you.

After the information is recorded, the records and associated documents can be inspected by the public and are not confidential, except for documents that are sealed under secrecy orders or related to unpublished patent applications. Assignment records relating to unpublished patent applications are maintained in confidence in accordance with 35 U.S.C. 122. Records open to the public are searched by users for the purpose of determining ownership for other property rights with respect to patents and trademarks.

Routine uses of the information you provide may also include disclosure to appropriate Federal, state, local, or foreign agencies in support of their enforcement duties and statutory or regulatory missions, including investigating potential violations of law or contract and awarding contracts or other benefits; to a court, magistrate, or administrative tribunal in the course of presenting evidence; to members of Congress responding to requests for assistance from their constituents; to the Office of Management and Budget in connection with the review of private relief legislation; to the Department of Justice in connection with a Freedom of Information Act request; to a contractor in the performance of their duties; to the Office of Personnel Management for personnel studies; and to the General Services Administration (GSA) as part of their records management responsibilities under the authority of 44 U.S.C. 2904 and 2906. Such disclosure to GSA shall not be used to make determinations about individuals.