

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT7670074

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	SECURITY INTEREST	
CONVEYING PARTY DATA		
Name		Execution Date
PULMONX CORPORATION		02/20/2020
RECEIVING PARTY DATA		
Name:	CANADIAN IMPERIAL BANK OF COMMERCE	
Street Address:	81 BAY STREET, 10TH FLOOR	
City:	TORONTO	
State/Country:	CANADA	
Postal Code:	M5J 0E7	
PROPERTY NUMBERS Total: 23		
Property Type	Number	
Patent Number:	11413045	
Patent Number:	11471069	
Patent Number:	9561301	
Patent Number:	9999701	
Patent Number:	8198365	
Patent Number:	8445589	
Patent Number:	9006340	
Patent Number:	8911750	
Patent Number:	7654999	
Patent Number:	7819908	
Patent Number:	7861710	
Application Number:	17696023	
Application Number:	17688498	
Application Number:	17366727	
Application Number:	16857004	
Application Number:	16940249	
Application Number:	17163173	
Application Number:	16950100	
Application Number:	17363613	
Application Number:	17363667	

PATENT

Property Type	Number
Application Number:	17444336
Application Number:	16941442
Application Number:	16706474

CORRESPONDENCE DATA

Fax Number: (650)565-7100

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.

Phone: 6505657022

Email: kceron@sidley.com

Correspondent Name: KARLA CERON

Address Line 1: 1001 PAGE MILL ROAD, BUILDING 1

Address Line 4: PALO ALTO, CALIFORNIA 94304

ATTORNEY DOCKET NUMBER:	061716.31450
NAME OF SUBMITTER:	KARLA CERON
SIGNATURE:	/karla ceron/
DATE SIGNED:	11/30/2022

Total Attachments: 9

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INTELLECTUAL PROPERTY SECURITY AGREEMENT

This INTELLECTUAL PROPERTY SECURITY AGREEMENT (as amended, restated, supplemented or otherwise modified from time to time, this “**Agreement**”) is entered into as of February 20, 2020, between CANADIAN IMPERIAL BANK OF COMMERCE (“**Lender**”) and PULMONX CORPORATION, a Delaware corporation (“**Grantor**”).

RECITALS

A. Lender and Grantor, among others, are entering into that certain Loan and Security Agreement dated as of the date hereof (as amended, restated, supplemented or otherwise modified from time to time, the “**Loan Agreement**”). Defined terms used herein without definition shall have the meanings set forth in the Loan Agreement.

B. The Obligations are secured by the Collateral including, without limitation, all of Grantor’s Intellectual Property.

C. Grantor’s execution and delivery of this Agreement is a condition to the effectiveness of the Loan Agreement.

NOW, THEREFORE, for good and valuable consideration, receipt of which is hereby acknowledged, and intending to be legally bound, Grantor and Lender hereby agree:

AGREEMENT

1. To secure the Obligations, Grantor grants Lender a security interest in all of Grantor’s right, title and interest in its Intellectual Property to the extent constituting Collateral. Grantor hereby confirms that the attached schedules of Grantor’s copyright, patent and trademark applications and registrations, which are registered or filed with the United States Patent and Trademark Office or the United States Copyright Office, as applicable, attached hereto as Exhibits A, B and C hereto, respectively, are complete and accurate as of the date hereof.

2. Grantor hereby authorizes Lender, upon notice to Grantor, to (a) modify this Agreement unilaterally by amending the Exhibits to this Agreement to include any Intellectual Property which Grantor obtains subsequent to the date of this Agreement, and (b) file a duplicate of this Agreement containing amended exhibits reflecting such new Intellectual Property.

3. This Agreement may be executed in any number of counterparts and by different parties on separate counterparts, each of which, when executed and delivered, is an original, and all taken together, constitute one Agreement. Delivery of an executed counterpart of a signature page of any Loan Document by electronic means shall be effective as delivery of an original executed counterpart of such Loan Document. The words “execution,” “signed,” “signature” and words of like import in any Loan Document shall be deemed to include electronic signatures or the keeping of records in electronic form, each of which shall be of the same legal effect, validity and enforceability as a manually executed signature or the use of a paper-based recordkeeping systems, as the case may be, to the extent and as provided for in any applicable law, including, without limitation, any state law based on the Uniform Electronic Transactions Act.

4. This Agreement is a Loan Document and shall be governed by, and construed in accordance with, the laws of the State of New York.

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IN WITNESS WHEREOF, the undersigned have duly executed this Intellectual Property Security Agreement as of the first date written above.

Address of Grantor:

Pulmonx Corporation
700 Chesapeake Drive
Redwood City, CA 94063
e-mail: dsung@pulmonx.com
Attention: Derrick Sung, Ph.D.

GRANTOR:

PULMONX CORPORATION

By: 

Name: Derrick Sung, Ph.D.

Title: Chief Financial Officer

Address of Lender:

CIBC Innovation Banking
81 Bay Street, 10th Floor
Toronto, Ontario
M5J 0E7
Attention: Mark McQueen, President and Executive
Managing Director

LENDER:

CANADIAN IMPERIAL BANK OF COMMERCE

By: _____

Name: _____

Title: Authorized Signatory

By: _____

Name: _____

Title: Authorized Signatory

IN WITNESS WHEREOF, the undersigned have duly executed this Intellectual Property Security Agreement as of the first date written above.

Address of Grantor:

Pulmonx Corporation
700 Chesapeake Drive
Redwood City, CA 94063
e-mail: dsung@pulmonx.com
Attention: Derrick Sung, Ph.D.

GRANTOR:

PULMONX CORPORATION

By: _____
Name: Derrick Sung, Ph.D.
Title: Chief Financial Officer

Address of Lender:

CIBC Innovation Banking
81 Bay Street, 10th Floor
Toronto, Ontario
M5J 0E7
Attention: Mark McQueen, President and Executive
Managing Director

LENDER:

CANADIAN IMPERIAL BANK OF COMMERCE

By: _____
Name: Mark McQueen
Title: Authorized Signatory

By: _____
Name: Imran Ramji
Title: Authorized Signatory

EXHIBIT A
COPYRIGHTS

None.

EXHIBIT B

PATENTS

<u>DESCRIPTION</u>	<u>PATENT/ APPLICATION NUMBER</u>	<u>ISSUE/ APPLICATION DATE</u>
APPARATUS AND METHOD FOR ISOLATED LUNG ACCESS	6,398,775	04-Jun-2002
METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION	6,287,290	11-Sep-2001
METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION	7,141,046	28-Nov-2006
METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION	7,458,963	02-Dec-2008
METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION	7,766,895	03-Aug-2010
METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION	8,177,769	15-May-2012
METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION	6,709,401	23-Mar-2004
METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION	7,186,259	06-Mar-2007
METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION	6,878,141	12-Apr-2005
METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS	6,527,761	04-Mar-2003
METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS	6,997,918	14-Feb-2006
SHEATH AND METHOD FOR RECONFIGURING LUNG VIEWING SCOPE	6,585,639	01-Jul-2003
METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS	10,413,244	17-Sep-2019
METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS	16/562,158	05-Sep-2019
PULMONARY OCCLUSAL STENT DELIVERY CATHETER, LOADING SYSTEM AND METHODS OF USE	8,409,168	02-Apr-2013
PULMONARY OCCLUSAL STENT DELIVERY CATHETER, LOADING SYSTEM AND METHODS OF USE	9,131,942	15-Sep-2015
MINIMALLY INVASIVE COLLATERAL FLOW MEASUREMENT IN LUNGS	8,454,527	04-Jun-2013
MINIMALLY INVASIVE COLLATERAL FLOW MEASUREMENT IN LUNGS	7,883,471	08-Feb-2011
MINIMALLY INVASIVE COLLATERAL FLOW MEASUREMENT IN LUNGS	8,523,782	03-Sep-2013
SELECTIVE LUNG TISSUE ABLATION	7,628,789	08-Dec-2009
SELECTIVE LUNG TISSUE ABLATION	8,568,403	29-Oct-2013
SELECTIVE LUNG TISSUE ABLATION	9,486,266	03-Nov-2016
SELECTIVE LUNG TISSUE ABLATION	10,470,811	12-Nov-2019
SELECTIVE LUNG TISSUE ABLATION	16/590,804	02-Oct-2019
COLLATERAL PATHWAY TREATMENT USING AGENT ENTRAINED BY ASPIRATION FLOW CURRENT	8,876,791	04-Nov-2014
METHODS AND DEVICES TO INDUCE LOCALIZED HYPOXIC PULMONARY VASOCONSTRICTION	8,136,526	20-Mar-2012


METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION	9,533,116	03-Jan-2017
METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION	15/358,483	22-Nov-2016
METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION	16/428,544	31-May-2019
METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION	10,314,992	11-Jun-2019
METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION	9,050,094	09-Jun-2015
METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION	8,496,006	30-Jul-2013
BRAIDED BALLOON PULMONARY FUNCTIONAL ASSESSMENT CATHETER (BB CATHETER)	8,342,182	01-Jan-2013
BRAIDED BALLOON PULMONARY FUNCTIONAL ASSESSMENT CATHETER (BB CATHETER)	15/250,917	30-Aug-2016
BRAIDED BALLOON PULMONARY FUNCTIONAL ASSESSMENT CATHETER (BB CATHETER)	9,439,583	13-Sep-2016
METHODS AND SYSTEMS FOR OCCLUDING COLLATERAL FLOW CHANNELS IN THE LUNG	8,137,302	20-Mar-2012
STENT LOADING DEVICE AND STENT REMOVAL DEVICE	8,100,959	24-Jan-2012
IMPLANTABLE BRONCHIAL ISOLATION DEVICES	7,717,115	18-May-2010
IMPLANTABLE BRONCHIAL ISOLATION DEVICES:	8,251,067	28-Aug-2012
IMPLANTABLE BRONCHIAL ISOLATION DEVICES	7,798,147	21-Sep-2010
IMPLANTABLE BRONCHIAL ISOLATION DEVICES	7,814,912	19-Oct-2010
METHODS AND DEVICES FOR INDUCING COLLAPSE IN LUNG REGIONS FED BY COLLATERAL PATHWAYS	7,412,977	19-Aug-2008
LUNG TREATMENT DEVICE	8,136,520	20-Mar-2012
LUNG TREATMENT DEVICE	7,670,373	02-Mar-2010
BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE	7,771,472	10-Aug-2010
BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE	8,388,682	05-Mar-2013
BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE	9,872,755	23-Jan-2018
BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE	10,350,048	16-Jul-2019
BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE	16/436,711	10-Jun-2019
BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE	9,211,181	15-Dec-2015
IMPLANTABLE BRONCHIAL ISOLATION DEVICES AND LUNG TREATMENT METHODS	CA 2,458,595	04-Dec-2007
IMPLANTABLE BRONCHIAL ISOLATION DEVICES AND LUNG TREATMENT METHODS	6,941,950	13-Sep-2005
IMPLANTABLE BRONCHIAL ISOLATION DEVICES AND LUNG TREATMENT METHODS	7,854,228	21-Dec-2010
IMPLANTED BRONCHIAL ISOLATION DEVICES. AND METHODS	8,474,460	02-Jul-2013

METHODS AND DEVICES FOR BLOCKING FLOW THROUGH COLLATERAL PATHWAYS IN THE LUNG	8,206,684	26-Jun-2012
MULTIPLE SEAL PORT ANESTHESIA ADAPTER	7,036,509	02-May-2006
METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES	CA 2,401,331	27-Jul-2010
METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES	6,679,264	20-Jan-2004
METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES	6,901,927	07-Jun-2005
METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES	6,904,909	14-Jun-2005
METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES	6,840,243	11-Jan-2005
METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES	7,165,548	23-Jan-2007
METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES	7,662,181	16-Feb-2010
METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES	8,357,139	22-Jan-2013
METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES	6,694,979	24-Feb-2004
BODY FLUID FLOW CONTROL DEVICE	5,954,766	21-Sep-1999
BODY FLUID FLOW CONTROL DEVICE	6,632,243	14-Oct-2003
BODY FLUID FLOW CONTROL DEVICE	7,033,387	25-Apr-2006
BODY FLUID FLOW CONTROL DEVICE	7,276,077	02-Oct-2007
IMPLANTABLE BRONCHIAL ISOLATION DEVICES	7,011,094	14-Mar-2006
MEASURING LUNG FUNCTION AND LUNG DISEASE PROGRESSION AT A LOBAR/SEGMENTAL LEVEL	9,107,606	18-Aug-2015
MEASURING LUNG FUNCTION AND LUNG DISEASE PROGRESSION AT A LOBAR/SEGMENTAL LEVEL	14/801,848	17-Jul-2015
DEVICES AND SYSTEMS FOR LUNG TREATMENT	9,592,008	14-Mar-2017
DEVICES AND SYSTEMS FOR LUNG TREATMENT	15/430,080	10-Feb-2017
METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSTICS	8,808,194	19-Aug-2014
METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSTICS	10,076,271	18-Sep-2018
METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSTICS	16/107,849	21-Aug-2018
METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSIS	9,364,168	14-Jun-2016
METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSIS	16/432,685	05-Jun-2019
METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSIS	10,314,516	11-Jun-2019
SYSTEMS AND METHODS FOR FLUSHING AN ASSESSMENT CATHETER	10,478,125	19-Nov-2019
SYSTEMS AND METHODS FOR FLUSHING AN ASSESSMENT CATHETER	16/590,607	02-Oct-2019
BRONCHIAL SEALANT DELIVERY METHODS AND SYSTEMS	10,456,562	29-Oct-2019
COLLATERAL FLOW CHANNEL SEALANT DELIVERY METHODS AND SYSTEMS	10,413,300	17-Sep-2019
COLLATERAL FLOW CHANNEL SEALANT DELIVERY METHODS AND SYSTEMS	16/532,820	06-Aug-2019

METHODS, SYSTEMS, AND DEVICES FOR ANALYZING LUNG IMAGING DATA	15/424,458	03-Feb-2017
HIGH RESISTANCE IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS	15/714,868	25-Sep-2017
POLYMER SYSTEMS FOR LUNG VOLUME REDUCTION THERAPY	8,361,484	29-Jan-2013
SELECTIVE LUNG TISSUE ABLATION	17/696,023	16-Mar-2022
METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION	17/688,498	7-Mar-2022
IMPLANT LOADING DEVICE AND SYSTEM	17/366,727	2-Jul-2021
MEASURING LUNG FUNCTION AND LUNG DISEASE PROGRESSION AT A LOBAR/SEGMENTAL LEVEL	16/857,004	23-Apr-2020
DEVICES AND SYSTEMS FOR LUNG TREATMENT	16/940,249	27-Jul-2020
METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSTICS	17/163,173	29-Jan-2021
METHODS, SYSTEMS, AND DEVICES FOR ANALYZING LUNG IMAGING DATA	16/950,100	17-Nov-2020
SYSTEMS AND METHODS FOR ENDOBRONCHIAL DIAGNOSTICS	17/363,613	30-Jun-2021
METHODS AND SYSTEMS FOR DETERMINING COLLATERAL VENTILATION	17/363,667	30-Jun-2021
METHODS, SYSTEMS, AND DEVICES FOR ANALYZING LUNG IMAGING DATA TO DETERMINE COLLATERAL VENTILATION	17/444,336	3-Aug-2021
METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION	11,413,045	16-Aug-2022
METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSIS	11,471,069	18-Oct-2022
HIGH RESISTANCE IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS	16/941,442	28-Jul-2020
FUNCTIONAL ASSESSMENT AND TREATMENT CATHETERS AND METHODS FOR THEIR USE IN THE LUNG	16/706,474	6-Dec-2019
LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS	9,561,301	7-Feb-2017
LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS	9,999,701	19-Jun-2018
LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS	8,198,365	12-Jun-2012
LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS	8,445,589	21-May-2013
LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS	9,006,340	14-Apr-2015
LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED BIOPOLYMERS	8,911,750	16-Dec-2014
TISSUE VOLUME REDUCTION	7,654,999	2-Feb-2010
COMPOSITIONS AND METHODS FOR REDUCING LUNG VOLUME	7,819,908	26-Oct-2010
RESPIRATORY ASSISTANCE APPARATUS AND METHOD	7,861,710	4-Jan-2011

EXHIBIT C

TRADEMARKS

<u>COUNTRY</u>	<u>DESCRIPTION</u>	<u>REGISTRATION/ SERIAL NUMBER</u>	<u>REGISTRATION/ APPLICATION DATE</u>
United States	MY LUNGS. MY LIFE.	App. No.: 88249118	Filing Date: January 3, 2019
United States	YOUR LUNGS. YOUR LIFE.	App. No.: 88249124	Filing Date: January 3, 2019
United States	STRATX	App. No.: 87113635 Reg. No.: 5835149	Filing Date: July 22, 2016 Reg. Date: August 13, 2019
United States	PULMONX	App. No.: 86209764 Reg. No.: 4758397	Filing Date: March 3, 2014 Reg. Date: June 23, 2015
United States	AERISEAL	App. No.: 85055131 Reg. No.: 3942227	Filing Date: June 4, 2010 Reg. Date: April 5, 2011
United States		App. No. 77438402 Reg. No. 3706187	Filing Date: April 2, 2008 Reg. Date: November 3, 2009
United States	CHARTIS	App. No. 77409896 Reg. No. 3747362	Filing Date: February 29, 2008 Reg. Date: February 9, 2010
United States Supplemental Register	PULMONX	App. No. 78524798 Reg. No. 3266660	Filing Date: November 30, 2004 Reg. Date: July 17, 2007
United States	ZEPHYR	App. No. 78414898 Reg. No. 3121633	Filing Date: May 7, 2004 Reg. Date: July 25, 2006
United States	EBV	App. No. 78122945 Reg. No. 3112518	Filing Date: April 19, 2002 Reg. Date: July 4, 2006

PATENT

RECORDED: 11/30/2022

REEL: 061929 FRAME: 0760