

TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

ETAS ID: TM427593

SUBMISSION TYPE:	NEW ASSIGNMENT		
NATURE OF CONVEYANCE:	SECURITY INTEREST		
CONVEYING PARTY DATA			
Name	Formerly	Execution Date	Entity Type
PULMONX CORPORATION		05/15/2017	Corporation: DELAWARE
RECEIVING PARTY DATA			
Name:	OXFORD FINANCE LLC, AS COLLATERAL AGENT		
Street Address:	133 N. FAIRFAX STREET		
Internal Address:	ATTN: LEGAL DEPARTMENT		
City:	ALEXANDRIA		
State/Country:	VIRGINIA		
Postal Code:	22314		
Entity Type:	Limited Liability Company: DELAWARE		
PROPERTY NUMBERS Total: 8			
Property Type	Number	Word Mark	
Serial Number:	87113635	STRATX	
Registration Number:	4758397	PULMONX	
Registration Number:	3942227	AERISEAL	
Registration Number:	3266660	PULMONX	
Registration Number:	3121633	ZEPHYR	
Registration Number:	3112518	EBV	
Registration Number:	3747362	CHARTIS	
Registration Number:	3706187	PULMONX	
CORRESPONDENCE DATA			
Fax Number:	8585506420		
<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:	858-550-6433		
Email:	jmfitzpatrick@cooley.com		
Correspondent Name:	JENNIFER FITZPATRICK		
Address Line 1:	C/O COOLEY LLP		
Address Line 2:	4401 EASTGATE MALL		
Address Line 4:	SAN DIEGO, CALIFORNIA 92121		
ATTORNEY DOCKET NUMBER:	306909-100 Pulmonx		

CH \$215.00 87113635

NAME OF SUBMITTER:	JENNIFER FITZPATRICK
SIGNATURE:	/JENNIFER FITZPATRICK/
DATE SIGNED:	05/15/2017

Total Attachments: 118

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INTELLECTUAL PROPERTY SECURITY AGREEMENT

This **INTELLECTUAL PROPERTY SECURITY AGREEMENT** is entered into as May 15, 2017, by and between OXFORD FINANCE LLC, a Delaware limited liability company with an office located at 133 North Fairfax Street, Alexandria, Virginia 22314 (“**Oxford**”), as collateral agent (in such capacity, “**Collateral Agent**”) for the Lenders (as defined below), and PULMONX CORPORATION, a Delaware corporation with offices located at 700 Chesapeake Drive, Redwood City, CA 94063 (“**Grantor**”).

RECITALS

A. Pursuant to a Loan and Security Agreement dated as of August 28, 2014 (as the same may be amended, modified or supplemented from time to time, the “**Loan Agreement**”) among Collateral Agent, the lenders from time to time party thereto (the “**Lenders**”), including without limitation, Oxford, and Grantor, Lenders agreed to make certain advances of money and to extend certain financial accommodation to Grantor (the “**Loans**”); capitalized terms used herein are used as defined in the Loan Agreement. Lenders are willing to make, and to continue to make, the Loans to Grantor, but only upon the condition, among others, that Grantor shall grant to Collateral Agent, for the ratable benefit of the Lenders, a security interest in certain Copyrights, Trademarks, Patents, and Mask Works (as each term is described below) to secure the obligations of Grantor under the Loan Agreement.

B. Pursuant to the terms of the Loan Agreement, Grantor has granted to Collateral Agent, for the ratable benefit of the Lenders, a security interest in all of Grantor’s right, title and interest, whether presently existing or hereafter acquired, in, to and under all of the Collateral.

NOW, THEREFORE, for good and valuable consideration, receipt of which is hereby acknowledged, and intending to be legally bound, as collateral security for the prompt and complete payment when due of its obligations under the Loan Agreement, Grantor hereby represents, warrants, covenants and agrees as follows:

AGREEMENT

To secure its obligations under the Loan Agreement, Grantor grants and pledges to Collateral Agent, for the ratable benefit of the Lenders, a security interest in all of Grantor’s right, title and interest in, to and under its intellectual property (all of which shall collectively be called the “**Intellectual Property Collateral**”), including, without limitation, the following:

(a) Any and all copyright rights, copyright applications, copyright registrations and like protections in each work or authorship and derivative work thereof, whether published or unpublished and whether or not the same also constitutes a trade secret, now or hereafter existing, created, acquired or held, including without limitation those set forth on Exhibit A attached hereto (collectively, the “**Copyrights**”);

(b) Any and all trade secrets, and any and all intellectual property rights in computer software and computer software products now or hereafter existing, created, acquired or held;

(c) Any and all design rights that may be available to Grantor now or hereafter existing, created, acquired or held;

(d) All patents, patent applications and like protections including, without limitation, improvements, divisions, continuations, renewals, reissues, extensions and continuations-in-part of the same, including without limitation the patents and patent applications set forth on Exhibit B attached hereto (collectively, the “**Patents**”);

(e) Any trademark and servicemark rights, whether registered or not, applications to register and registrations of the same and like protections, and the entire goodwill of the business of Grantor connected with and symbolized by such trademarks, including without limitation those set forth on Exhibit C attached hereto (collectively, the “**Trademarks**”);

(f) All mask works or similar rights available for the protection of semiconductor chips, now owned or hereafter acquired, including, without limitation those set forth on Exhibit D attached hereto (collectively, the “**Mask Works**”);

(g) Any and all claims for damages by way of past, present and future infringements of any of the rights included above, with the right, but not the obligation, to sue for and collect such damages for said use or infringement of the intellectual property rights identified above;

(h) All licenses or other rights to use any of the Copyrights, Patents, Trademarks, or Mask Works and all license fees and royalties arising from such use to the extent permitted by such license or rights;

(i) All amendments, extensions, renewals and extensions of any of the Copyrights, Trademarks, Patents, or Mask Works; and

(j) All proceeds and products of the foregoing, including without limitation all payments under insurance or any indemnity or warranty payable in respect of any of the foregoing.

Notwithstanding the foregoing, the Intellectual Property Collateral shall not include (i) any license or contract, in each case if the granting of a Lien in such license or contract is prohibited by or would constitute a default under the agreement governing such license or contract; and (ii) any “intent to use” trademarks at all times prior to the first use thereof, whether by the actual use thereof in commerce, the recording of a statement of use with the United States Patent and Trademark Office or otherwise (but, in the case of (i), (A) only to the extent such prohibition is enforceable under applicable law and (B) other than to the extent that any such term would be rendered ineffective pursuant to Sections 9-406, 9-408 or 9-409 (or any other Section) of Division 9 of the Code); provided that upon the termination, lapsing or expiration of any such prohibition, such license or contract, as applicable, shall automatically be subject to the security interest granted in favor of Collateral Agent hereunder and become part of the “Intellectual Property Collateral.”

This security interest is granted in conjunction with the security interest granted to Collateral Agent, for the ratable benefit of the Lenders under the Loan Agreement. The rights and remedies of Collateral Agent with respect to the security interest granted hereby are in addition to those set forth in the Loan Agreement and the other Loan Documents, and those which are now or hereafter available to Collateral Agent as a matter of law or equity. Each right, power and remedy of Collateral Agent provided for herein or in the Loan Agreement or any of the Loan Documents, or now or hereafter existing at law or in equity shall be cumulative and concurrent and shall be in addition to every right, power or remedy provided for herein and the exercise by Collateral Agent of any one or more of the rights, powers or remedies provided for in this Intellectual Property Security Agreement, the Loan Agreement or any of the other Loan Documents, or now or hereafter existing at law or in equity, shall not preclude the simultaneous or later exercise by any person, including Collateral Agent, of any or all other rights, powers or remedies.

Grantor represents and warrants that Exhibits A, B, C, and D attached hereto set forth any and all intellectual property rights in connection to which Grantor has registered or filed an application with either the United States Patent and Trademark Office or the United States Copyright Office, as applicable.

[Signature page follows.]


IN WITNESS WHEREOF, the parties have caused this Intellectual Property Security Agreement to be duly executed by its officers thereunto duly authorized as of the first date written above.

GRANTOR:

Address of Grantor:

PULMONX CORPORATION

700 Chesapeake Drive
Redwood City, CA 94063
Attn: Martin Schneider

By: 
Name: GLENDON E. FRENCH
Title: PRESIDENT & CEO

COLLATERAL AGENT:

Address of Collateral Agent:

OXFORD FINANCE LLC

133 N. Fairfax Street
Alexandria, VA 22314
Attn: Legal Department

By: _____
Name: _____
Title: _____

EXHIBIT A

Copyrights

Description

Registration/
Application
Number

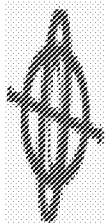
Registration/
Application
Date

None.

EXHIBIT B

Patents

Please see attached.



**FOLEY
HOAG**
L.L.P.

Wednesday, March 1, 2017

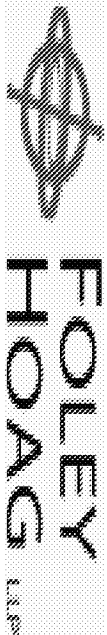
Patent List (by Case Number)

Page 2 of 24

Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-00401	United States of America		ORD	11/590664	31-Oct-2006	0110813-A1	17-May-2007			Abandoned			32561.00401
<p><u>Owner Name:</u> Aeris Therapeutics, LLC <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u>POLYCATON-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF <u>Inventors:</u>INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u></p>													
PNX-00425		Patent Cooperation Treaty	ORD	US06/042338	31-Oct-2006	WO07/055950	18-May-2007			Nationaliz			32561.00425
<p><u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u>POLYCATON-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF <u>Inventors:</u>INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u></p>													
PNX-00429	China (People's Republic)		PCT	200680041218.5	31-Oct-2006	101466408	24-Jun-2009			Abandoned			32561.00429
<p><u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> China Patent Agent (H.K.) Ltd. <u>Title:</u>POLYCATON-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF <u>Inventors:</u>INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> CPCH0861730P</p>													
PNX-00430	Japan		PCT	2008-538948	31-Oct-2006					Abandoned			32561.00430
<p><u>Owner Name:</u> Aeris Therapeutics, LLC <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Yanagida & Associates <u>Title:</u>POLYCATON-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF <u>Inventors:</u>INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> PCT9038JAF</p>													
PNX-00435	Korea, Republic of		PCT	2008-7012845	31-Oct-2006					Abandoned			32561.00435
<p><u>Owner Name:</u> Aeris Therapeutics, LLC <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Nam & Nam World Patent & Law Firm <u>Title:</u>POLYCATON-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF <u>Inventors:</u>INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> PC-0027890.00/CCH</p>													

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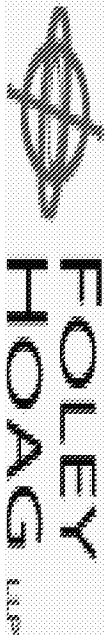


Wednesday, March 1, 2017

Patent List (by Case Number)

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PNX-00440	Australia		PCT	2006312092	31-Oct-2006					Abandoned			32561.00440
<u>Owner Name:</u> Aeris Therapeutics, LLC <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Shelston IP <u>Title:</u> POLYCATON-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF <u>Inventors:</u> INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> 58652AJP00													
PNX-00450	Canada		PCT	2628272	31-Oct-2006					Abandoned			32561.00450
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Riches, McKenzie & Herbert <u>Title:</u> POLYCATON-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF <u>Inventors:</u> INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> P27908													
PNX-00455	Mexico		PCT	MX/a/2008/005494	31-Oct-2006					Abandoned			32561.00455
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Basham, Ringe Y Correa, S.C. <u>Title:</u> POLYCATON-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF <u>Inventors:</u> INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> 206/28772													
PNX-00456	Brazil		PCT	PI0618216-0	31-Oct-2006					Abandoned			32561.00456
<u>Owner Name:</u> Aeris Therapeutics, LLC <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Dannemann Siemsen Bigler & Ipanema Moreira <u>Title:</u> POLYCATON-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF <u>Inventors:</u> INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> P152089 (gls)													
PNX-00460	United States of America		PRO	60/732987	02-Nov-2005					Expired			32561.00460
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> POLYCATON COMPOSITIONS AND THERAPEUTIC USES THEREFOR <u>Inventors:</u> INGENITO, Edward P.; SCHWARZ, Alexander <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													



Wednesday, March 1, 2017

Patent List (by Case Number)

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Case Number	Sub Case	Case Type	Application No.	Publication No.	Patent No.	Status	Exp Date	Old Case Number	Billing Number
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PNX-00465		PCT	191137			Abandoned			32561.00465
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Owner Name: Reinhold Cohn and Partners
 Client Name: 32561 Pulmonx
 Agent Name: Reinhold Cohn and Partners
 Title: POLYCATION-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF
 Inventors: INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W.
 Attorneys: DMG JVB
 Client Reference:
 Agent Reference: 183550-3

PNX-00468		PCT	2751/CHENP/2008			Abandoned			32561.00468
			31-Oct-2006						

Owner Name: Aeris Therapeutics, LLC
 Client Name: 32561 Pulmonx
 Agent Name: De Penning & De Penning
 Title: POLYCATION-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF
 Inventors: INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W.
 Attorneys: DMG JVB
 Client Reference:
 Agent Reference: 2945-2008/RRN/wm

PNX-00477		PCT	2008121888			Abandoned			32561.00477
			31-Oct-2006						

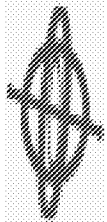
Owner Name: Goroditsky & Partners
 Client Name: 32561 Pulmonx
 Agent Name: Goroditsky & Partners
 Title: POLYCATION-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF
 Inventors: INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W.
 Attorneys: DMG JVB
 Client Reference:
 Agent Reference: 2420-152088RU/011

PNX-00480		PCT	06844235.9			Abandoned			32561.00480
			31-Oct-2006						

Owner Name: Kilburn and Strode
 Client Name: 32561 Pulmonx
 Agent Name: Kilburn and Strode
 Title: POLYCATION-POLYANION COMPLEXES, COMPOSITIONS AND METHODS OF USE THEREOF
 Inventors: INGENITO, Edward P.; SCHWARZ, Alexander; TSAI, Larry W.
 Attorneys: DMG JVB
 Client Reference:
 Agent Reference: P45328EP-K/NJL/cb

PNX-00501		ORD	12/117367			Granted			32561.00501
			08-May-2008						

Owner Name: INGENITO EDWARD P
 Client Name: 32561 Pulmonx
 Agent Name: INGENITO EDWARD P
 Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS
 Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.
 Attorneys: DMG JVB
 Client Reference:
 Agent Reference:



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L.L.P.

Wednesday, March 1, 2017

Patent List (by Case Number)

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PNX-00502	United States of America		DIV	13/493409	11-Jun-2012	0245627-A1	27-Sep-2012	8445589	21-May-2013	Granted	08-May-2028		32561.00502
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Owner Name: AERIS THERAPEUTICS L
 Client Name: 32561 Pulmonx
 Agent Name:
 Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS
 Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.
 Attorneys: DMG JVB
 Client Reference:
 Agent Reference:

PNX-00503	United States of America		DIV	13/898624	21-May-2013	0325061-A1	05-Dec-2013	9006340	14-Apr-2015	Granted	08-May-2028		32561.00503
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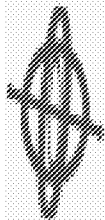
Owner Name: AERIS THERAPEUTICS L
 Client Name: 32561 Pulmonx
 Agent Name:
 Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS
 Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.
 Attorneys: DMG JVB
 Client Reference:
 Agent Reference:
 Correction

PNX-00504	United States of America		DIV	14/698306	14-Apr-2015	0217020-A1	06-Aug-2015	9561301	07-Feb-2017	Granted	08-May-2028		32561.00504
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Owner Name: AERIS THERAPEUTICS L
 Client Name: 32561 Pulmonx
 Agent Name:
 Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS
 Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.
 Attorneys: DMG JVB
 Client Reference:
 Agent Reference:

Action Due	Due Date	Indicator
PTA Request	07-Apr-2017	Due Date
Reconsideration		
PTA Req	07-May-2017	Due Date
Reconsideration-1moExt		
PTA Req	07-Jun-2017	Due Date
Reconsideration-2moExt		
PTA Req	07-Jul-2017	Due Date
Reconsideration-3moExt		
PTA Req	07-Aug-2017	Due Date
Reconsideration-4moExt		
PTA Req	07-Sep-2017	Final
Reconsideration-5moExt		
Re-issue Deadline	07-Feb-2019	Final

Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS
 Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.



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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number	Indicator
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PNX-00529	United States of America		CON	15/425216	06-Feb-2017					Pending			32561.00505	
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Owner Name: AERIS THERAPEUTICS L
 Client Name: 32561 Pulmonx
 Agent Name:

Attorneys: DMG JVB
 Client Reference:
 Agent Reference:

Action Due	Due Date	Indicator
Obtain & File Assignment	06-Apr-2017	Due Date
Obtain & File POA	06-Apr-2017	Due Date
MP Response Due	15-Apr-2017	Due Date
MP Response-1mo ext	15-May-2017	Due Date
Priority Claim Deadline	06-Jun-2017	Final
MP Response-2mo ext	15-Jun-2017	Due Date
MP Response-3mo ext	15-Jul-2017	Due Date
MP Response-4mo ext	15-Aug-2017	Due Date
1 Week to MP Final	08-Sep-2017	Due Date
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MP Response-5mo ext	15-Sep-2017	Final
DKTING CONFIRM NO	08-Feb-2018	Due Date
FF-NPR		

Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS

Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.

PNX-00525	Patent Cooperation Treaty	ORD	US08/062993	08-May-2008	WO08/141059	20-Nov-2008				Nationaliz			32561.00525	
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Owner Name:
 Client Name: 32561 Pulmonx
 Agent Name:

Attorneys: DMG JVB
 Client Reference:
 Agent Reference:

Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS

Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.

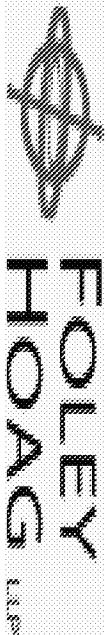
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Owner Name: AERIS THERAPEUTICS I
 Client Name: 32561 Pulmonx
 Agent Name: China Patent Agent (H.K.) Ltd.

Attorneys: DMG JVB
 Client Reference:
 Agent Reference: CPC/H0963495P

Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS

Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.

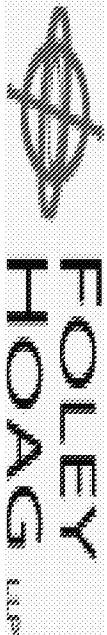


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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-00530	Japan		PCT	2010-507639	08-May-2008	2010-526914	05-Aug-2010			Published			32561.00530
<u>Owner Name:</u> Yanagida & Associates <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Yanagida & Associates <u>Title:</u> LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS <u>Inventors:</u> INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> PCT9629JAF													
PNX-00535	Korea, Republic of		PCT	10-2009-7025577	08-May-2008	2010-0019488	18-Feb-2010			Published			32561.00535
<u>Owner Name:</u> AERIS THERAPEUTICS L <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Nam & Nam World Patent & Law Firm <u>Title:</u> LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS <u>Inventors:</u> INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> PC-0032986.00													
PNX-00540	Australia		PCT	2008251535	08-May-2008	2008251535	14-Nov-2013			Abandoned			32561.00540
<u>Owner Name:</u> AERIS THERAPEUTICS L <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Shelston IP <u>Title:</u> LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS <u>Inventors:</u> INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> 64278AUP00													
PNX-00541	Australia		DIV	2013204961	08-May-2008					Abandoned			32561.00541
<u>Owner Name:</u> AERIS THERAPEUTICS L <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Shelston IP <u>Title:</u> LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS <u>Inventors:</u> INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> 64278AUP01													
PNX-00550	Canada		PCT	2686563	08-May-2008					Abandoned			32561.00550
<u>Owner Name:</u> Riches, McKenzie & Herbert <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Riches, McKenzie & Herbert <u>Title:</u> LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS <u>Inventors:</u> INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> P79609													

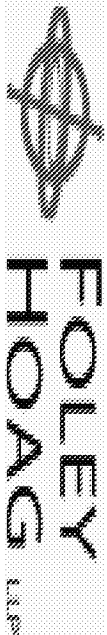


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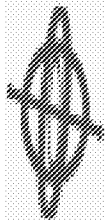
Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-00555	Mexico		PCT	MX/a/2009/012103	08-May-2008					Abandoned			32561.00555
Owner Name: AERIS THERAPEUTICS L Client Name: 32561 Pulmonx Agent Name: Basham, Ringe Y Correa, S.C. Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. Attorneys: DMG JVB Client Reference: Agent Reference: 205/30795													
PNX-00556	Brazil		PCT	PI0811442-0	08-May-2008					Pending			32561.00556
Owner Name: Client Name: 32561 Pulmonx Agent Name: Dannemann Siemsen Bigler & Ipanema Moreira Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. Attorneys: DMG JVB Client Reference: Agent Reference: P163196													
PNX-00560	United States of America		PRO	60/917419	11-May-2007					Expired	11-May-2008		32561.00560
Owner Name: Client Name: 32561 Pulmonx Agent Name: Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED AMINATED POLY(VINYL ALCOHOL) Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. Attorneys: DMG JVB Client Reference: Agent Reference:													
PNX-00568	India		PCT	7241/CHE/2009	08-May-2008					Abandoned			32561.00568
Owner Name: Client Name: 32561 Pulmonx Agent Name: De Penning & De Penning Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. Attorneys: DMG JVB Client Reference: Agent Reference: 5274-2009													
PNX-00580	European Patent Convention		PCT	08755145.3	08-May-2008	2152779	17-Feb-2010			Published			27283.580
Owner Name: AERIS THERAPEUTICS L Client Name: 32561 Pulmonx Agent Name: Barker Brettell LLP Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED NON-NATURAL POLYMERS Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. Attorneys: DMG JVB Client Reference: Agent Reference: LPT52253P.EPP Action Due: Response Due to EPO Due Date: 03-Mar-2017 Indicator: Due Date													



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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-00601	United States of America		PCT	12739791	27-Oct-2008					Abandoned			32561.00601
<u>Owner Name:</u> TSAL LARRY W. <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> PNEUMOREDUCTIVE THERAPY AND COMPOSITIONS USEFUL THEREIN <u>Inventors:</u> INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													
PNX-00625	United States of America		ORD	US08/081321	27-Oct-2008	WO09/055788	30-Apr-2009			Nationaliz			32561.00625
<u>Owner Name:</u> TSAL LARRY W. <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> PNEUMOREDUCTIVE THERAPY AND COMPOSITIONS USEFUL THEREIN <u>Inventors:</u> INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													
PNX-00660	United States of America		PRO	60/982934	26-Oct-2007					Expired			32561.00660
<u>Owner Name:</u> TSAL LARRY W. <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> PNEUMOREDUCTIVE THERAPY AND COMPOSITIONS USEFUL THEREIN <u>Inventors:</u> INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													
PNX-00661	United States of America		PRO	61/077209	01-Jul-2008					Expired			32561.00661
<u>Owner Name:</u> TSAL LARRY W. <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> PNEUMOREDUCTIVE THERAPY AND COMPOSITIONS USEFUL THEREIN <u>Inventors:</u> INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													
PNX-00701	United States of America		ORD	12/062189	03-Apr-2008	0261884-A1	23-Oct-2008	8911750	16-Dec-2014	Granted			32561.00701
<u>Owner Name:</u> TSAL LARRY W. <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED BIOPOLYMERS <u>Inventors:</u> TSAI, Larry W.; INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													



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Wednesday, March 1, 2017

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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-00702	United States of America		CON	14/571873	16-Dec-2014	0196682-A1	16-Jul-2015			Abandoned			32561.00702
Owner Name: PULMONX Client Name: 32561 Pulmonx Agent Name: Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED BIOPOLYMERS Inventors: TSAI, Larry W.; INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference:													
PNX-00725	United States of America		ORD	US08/059263	03-Apr-2008	WO08/124500	16-Oct-2008			Nationaliz			32561.00725
Patent Cooperation Treaty Owner Name: Client Name: 32561 Pulmonx Agent Name: Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED BIOPOLYMERS Inventors: TSAI, Larry W.; INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference:													
PNX-00760	United States of America		PRO	60/909806	03-Apr-2007					Expired	03-Apr-2008		32561.00760
Owner Name: Client Name: 32561 Pulmonx Agent Name: Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED MAMMALIAN BIOPOLYMERS Inventors: TSAI, Larry W.; INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference:													
PNX-00780	European Patent Convention		PCT	08745018.5	03-Apr-2008	2142208	13-Jan-2010			Abandoned			32561.00780
Owner Name: AERIS THERAPEUTICS L Client Name: 32561 Pulmonx Agent Name: Barker Brettell LLP Title: LUNG VOLUME REDUCTION THERAPY USING CROSSLINKED BIOPOLYMERS Inventors: TSAI, Larry W.; INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference: 51653P EPP													
PNX-01101	United States of America		PRI	09/379460	23-Aug-1999			6610043	26-Aug-2003	Granted	23-Aug-2019		32561.01101
Owner Name: BISTECH INC Client Name: 32561 Pulmonx Agent Name: Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference:													

TRADEMARK

REEL: 006060 FRAME: 0493



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Wednesday, March 1, 2017

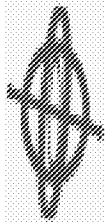
Patent List (by Case Number)

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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01102	United States of America		CON	09/839253	20-Apr-2001	0051799-A1	13-Dec-2001	6682520	27-Jan-2004	Granted	05-Sep-2019		32561.01102
		Owner Name:	BISTECH INC										
		Client Name:	32561 Pulmonx										
		Agent Name:											
		Title:	TISSUE VOLUME REDUCTION										
		Inventors:	INGENITO, Edward P.										
PNX-01103	United States of America		PCT	10/069307	23-Aug-2000			7654998	02-Feb-2010	Granted	28-Aug-2020		32561.01103
		Owner Name:	AERIS THERAPEUTICS I										
		Client Name:	32561 Pulmonx										
		Agent Name:											
		Title:	TISSUE VOLUME REDUCTION										
		Inventors:	INGENITO, Edward P.										
PNX-01104	United States of America		CON	10/649232	26-Aug-2003	0038868-A1	26-Feb-2004	7654999	02-Feb-2010	Granted	31-Oct-2020		32561.01104
		Owner Name:	AERIS THERAPEUTICS I										
		Client Name:	32561 Pulmonx										
		Agent Name:											
		Title:	TISSUE VOLUME REDUCTION										
		Inventors:	INGENITO, Edward P.										
PNX-01105	United States of America		CON	11/009379	11-Dec-2004	0239685-A1	27-Oct-2005	7300428	27-Nov-2007	Granted	23-Aug-2019		32561.01105
		Owner Name:	AERIS THERAPEUTICS I										
		Client Name:	32561 Pulmonx										
		Agent Name:											
		Title:	TISSUE VOLUME REDUCTION										
		Inventors:	INGENITO, Edward P.										
PNX-01106	United States of America		DIV	09/658338	08-Sep-2000					Abandoned			32561.01106
		Owner Name:											
		Client Name:	32561 Pulmonx										
		Agent Name:											
		Title:	TISSUE VOLUME REDUCTION										
		Inventors:	INGENITO, Edward P.										
		Attorneys:	DMG JVB										
		Client Reference:											
		Agent Reference:											

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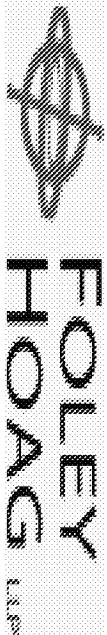
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Wednesday, March 1, 2017

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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01125		Patent Cooperation Treaty	ORD	US00/23134	23-Aug-2000	WO01/13908	01-Mar-2001			Nationaliz			32561.01125
Owner Name: _____ Client Name: 32561 Pulmonx Agent Name: _____ Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: _____													
PNX-01129	China (People's Republic)		PCT	00812041.2	23-Aug-2000	1373670	09-Oct-2002	ZL00812041.2	18-Jan-2006	Granted			32561.01129
Owner Name: INGENITO EDWARD P Client Name: 32561 Pulmonx Agent Name: China Sinda Intellectual Property Limited Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: SCT020304-18													
PNX-01130	Japan		PCT	2001-518046	23-Aug-2000					Abandoned			32561.01130
Owner Name: Aeris Therapeutics, LLC Client Name: 32561 Pulmonx Agent Name: Shusaku Yamamoto Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: F1-10L19CU8													
PNX-01140	Australia		PCT	67993/00	23-Aug-2000	783750	16-Mar-2006			Granted			32561.01140
Owner Name: Aeris Therapeutics, LLC Client Name: 32561 Pulmonx Agent Name: Davies Collison Cave Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: 2505377													
PNX-01141	Australia		DIV	2006200887	23-Aug-2000					Abandoned			32561.01141
Owner Name: Aeris Therapeutics, LLC Client Name: 32561 Pulmonx Agent Name: Davies Collison Cave Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: 12735320													



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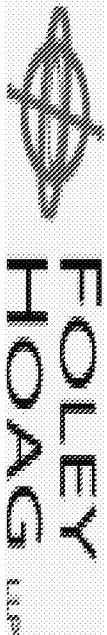
Patent List (by Case Number)

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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01150	Canada		PCT	2382817	23-Aug-2000	2382817	01-Mar-2001	2382817	08-Oct-2013	Granted	23-Aug-2020		32561.01150
Owner Name: INGENITO EDWARD P Client Name: 32561 Pulmonx Agent Name: Norton Rose Fulbright Canada LLP Title: USE OF FIBRIN OR FIBRINOGEN FOR REDUCING LUNG TISSUE VOLUME (As Amended) Inventors: INGENITO, Edward P.													
PNX-01154	Hong Kong		REP	02108456.8	23-Aug-2000	1048586A	11-Apr-2003	HK1048586	03-Jun-2005	Granted	23-Aug-2020		32561.01154
Owner Name: Aeris Therapeutics, LLC Client Name: 32561 Pulmonx Agent Name: Marks & Clerk (Hong Kong) Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P.													
PNX-01154	India		PCT	2002/00214/DEL	23-Aug-2000	227697	16-Jan-2009	227697	16-Jan-2009	Granted	23-Aug-2020		32561.01154
Owner Name: Aeris Therapeutics, LLC Client Name: 32561 Pulmonx Agent Name: Remfry & Sagar Title: A COMPOSITION FOR REPAIRING TISSUE (as amended) Inventors: INGENITO, Edward P.													
PNX-01168	India		DIV	5362/DELNP/2005	23-Aug-2000		21-Dec-2007			Abandoned			32561.01168
Owner Name: Aeris Therapeutics, LLC Client Name: 32561 Pulmonx Agent Name: Remfry & Sagar Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P.													
Attorneys: DMG JVB Client Reference: Agent Reference: RNI/MES/sao/IP Pub													
Action Due Statement of Working Due in 2w Due Date: 17-Mar-2017 Indicator: Due Date													
Statement of Working Due in 1w Due Date: 24-Mar-2017 Indicator: Due Date													
File Statement of Working Due in 1w Due Date: 31-Mar-2017 Indicator: Final													

TRADEMARK

REEL: 006060 FRAME: 0496



Wednesday, March 1, 2017

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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01177	Russian Federation		PCT	2002107319	23-Aug-2000			2308967	27-Oct-2007	Granted			32561.01177
<u>Owner Name:</u> AEHRIS TERAP JUTIKS <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Goroditsky & Partners <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> 2403-125811/353													
PNX-01179	Finland		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted			32561.01179
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766FI													
PNX-01180	European Patent Convention		PCT	00955858.6	23-Aug-2000	1206276	22-May-2002	1206276	20-Oct-2004	Granted			32561.01180
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/hnd/45766													
PNX-01181	Austria		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted			32561.01181
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766AT													
PNX-01182	Belgium		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted			32561.01182
<u>Owner Name:</u> Aeris Therapeutics, LLC <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766BE													

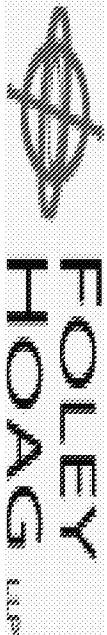
Wednesday, March 1, 2017

Patent List (by Case Number)

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PNX-01183	Denmark		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted	23-Aug-2020		32561.01183
Owner Name: INGENITO EDWARD P Client Name: 32561 Pulmonx Agent Name: Marks & Clerk (London Office) Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference: SJW/LK/45766DK													
PNX-01184	France		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted	23-Aug-2020		32561.01184
Owner Name: INGENITO EDWARD P Client Name: 32561 Pulmonx Agent Name: Marks & Clerk (London Office) Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference: SJW/LK/45766FR													
PNX-01185	Germany		EPP	00955858.6	23-Aug-2000	1206276		60015152.2	20-Oct-2004	Granted	23-Aug-2020		32561.01185
Owner Name: AERIS THERAPEUTICS I Client Name: 32561 Pulmonx Agent Name: Marks & Clerk (London Office) Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference: SJW/LK/45766DE													
PNX-01186	Greece		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted	23-Aug-2020		32561.01186
Owner Name: INGENITO EDWARD P Client Name: 32561 Pulmonx Agent Name: Marks & Clerk (London Office) Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference: SJW/LK/45766GR													
PNX-01187	Italy		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted	23-Aug-2020		32561.01187
Owner Name: INGENITO EDWARD P Client Name: 32561 Pulmonx Agent Name: Marks & Clerk (London Office) Title: TISSUE VOLUME REDUCTION Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference: SJW/LK/45766IT													

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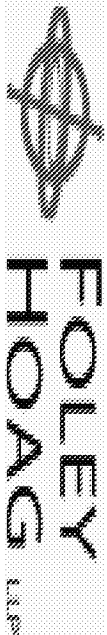


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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01188	Ireland		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted	23-Aug-2020		32561.01188
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766IE													
PNX-01189	Luxembourg		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted	23-Aug-2020		32561.01189
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766LU													
PNX-01191	Netherlands		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted	23-Aug-2020		32561.01191
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766NL													
PNX-01193	Spain		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Abandoned	23-Aug-2020		32561.01193
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766ES													
PNX-01194	Sweden		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted	23-Aug-2020		32561.01194
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766SE													

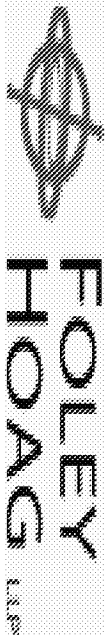


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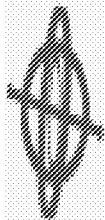
Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01195	Switzerland		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted			32561.01195
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766CH													
PNX-01196	United Kingdom		EPP	00955858.6	23-Aug-2000	1206276		1206276	20-Oct-2004	Granted			32561.01196
<u>Owner Name:</u> INGENITO EDWARD P <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SJW/LK/45766GB													
PNX-01197	European Patent Convention		DIV	04024842.9	23-Aug-2000	1527786				Abandoned			32561.01197
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Marks & Clerk (London Office) <u>Title:</u> TISSUE VOLUME REDUCTION <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> PNs87425EPA													
PNX-01201	United States of America		ORD	10/464115	17-Jun-2003	0047855-A1				Abandoned			32561.01201
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> COMPOSITIONS AND METHODS FOR REDUCING LUNG VOLUME <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													
PNX-01202	United States of America		CLP	11/016548	17-Dec-2004	0244401-A1		7819908	26-Oct-2010	Granted			32561.01202
<u>Owner Name:</u> AERIS THERAPEUTICS I <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> COMPOSITIONS AND METHODS FOR REDUCING LUNG VOLUME <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													



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Patent List (by Case Number)

Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01225			ORD	US03/19339	17-Jun-2003	WO03/105676	24-Dec-2003			Nationaliz			32561.01225
<u>Patent Cooperation Treaty</u> Owner Name: _____ Client Name: 32561 Pulmonx Agent Name: _____ Title: COMPOSITIONS AND METHODS FOR REDUCING LUNG VOLUME Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: _____													
PNX-01226			ORD	US05/046016	19-Dec-2005	WO06/066234	22-Jun-2006			Completed			32561.01226
<u>Patent Cooperation Treaty</u> Owner Name: _____ Client Name: 32561 Pulmonx Agent Name: _____ Title: COMPOSITIONS AND METHODS FOR REDUCING LUNG VOLUME Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: _____													
PNX-01250	Canada		PCT	2530042	17-Jun-2003	2530042	24-Dec-2003	2530042	03-Apr-2012	Granted	17-Jun-2023		32561.01250
<u>Canada</u> Owner Name: AERIS THERAPEUTICS I Client Name: 32561 Pulmonx Agent Name: Norton Rose Fulbright Canada LLP Title: COMPOSITIONS AND METHODS FOR REDUCING LUNG VOLUME Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: 05012865-4CA													
PNX-01260	United States of America		PRO	60/389731	17-Jun-2002					Expired	17-Jun-2003		32561.01260
<u>United States of America</u> Owner Name: _____ Client Name: 32561 Pulmonx Agent Name: _____ Title: COMPOSITIONS AND METHODS FOR REDUCING LUNG VOLUME Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: _____													
PNX-01261	United States of America		PRO	60/530832	17-Dec-2003					Expired	17-Dec-2004		32561.01261
<u>United States of America</u> Owner Name: _____ Client Name: 32561 Pulmonx Agent Name: _____ Title: COMPOSITIONS AND METHODS FOR REDUCING LUNG VOLUME Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: _____ Agent Reference: _____													



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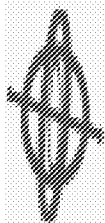
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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01301	United States of America		ORD	11/824942	02-Jul-2007	0115787-A1	22-May-2008	7861710	04-Jan-2011	Granted	28-Jul-2029		32561.01301
Owner Name: AERIS THERAPEUTICS I Client Name: 32561 Pulmonx Agent Name: Title: RESPIRATORY ASSISTANCE APPARATUS AND METHOD Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference:													
PNX-01360	United States of America		PRO	60/817987	30-Jun-2006					Expired	30-Jun-2007		32561.01360
Owner Name: Client Name: 32561 Pulmonx Agent Name: Title: RESPIRATORY ASSISTANCE APPARATUS AND METHOD Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference:													
PNX-01361	United States of America		PRO	60/818361	02-Jul-2006					Expired	02-Jul-2007		32561.01361
Owner Name: Client Name: 32561 Pulmonx Agent Name: Title: RESPIRATORY ASSISTANCE APPARATUS AND METHOD Inventors: INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference:													
PNX-01425	United States of America	Patent Cooperation Treaty	ORD	US06/013450	11-Apr-2006					Abandoned			32561.01425
Owner Name: Client Name: 32561 Pulmonx Agent Name: Title: FORMULATIONS FOR REDUCING LUNG VOLUME Inventors: SCHWARZ, Alexander; INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference:													
PNX-01460	United States of America		PRO	60/670396	11-Apr-2005					Expired	11-Apr-2006		32561.01460
Owner Name: Client Name: 32561 Pulmonx Agent Name: Title: FORMULATIONS FOR REDUCING LUNG VOLUME Inventors: SCHWARZ, Alexander; INGENITO, Edward P. Attorneys: DMG JVB Client Reference: Agent Reference:													

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Wednesday, March 1, 2017

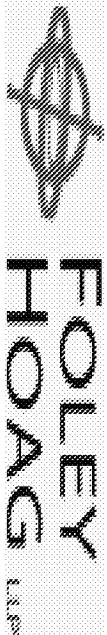
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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01660	United States of America		PRO	60/833860	28-Jul-2006					Expired	28-Jul-2007		32561.01660
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> BIODEGRADABLE FOAMS FOR TREATING EMPHYSEMA <u>Inventors:</u> INGENITO, Edward P.; TSAI, Larry W.; SCHWARZ, Alexander <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													
PNX-01601	United States of America		ORD	10/386149	11-Mar-2003	0181356-A1	25-Sep-2003			Abandoned			32561.01601
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													
PNX-01625	Patent Cooperation Treaty		ORD	US03/07528	11-Mar-2003	WO03/078579	25-Sep-2003			Nationaliz			32561.01625
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> <u>Title:</u> COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u>													
PNX-01629	China (People's Republic)		PCT	03810671.X	11-Mar-2003	1652795	10-Aug-2005			Abandoned			32561.01629
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> China Sinda Intellectual Property Limited <u>Title:</u> COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> SCT043410-47													
PNX-01630	Japan		PCT	2003-576574	11-Mar-2003					Abandoned			32561.01630
<u>Owner Name:</u> <u>Client Name:</u> 32561 Pulmonx <u>Agent Name:</u> Hata & Associates <u>Title:</u> COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA <u>Inventors:</u> INGENITO, Edward P. <u>Attorneys:</u> DMG JVB <u>Client Reference:</u> <u>Agent Reference:</u> D 04-00637													

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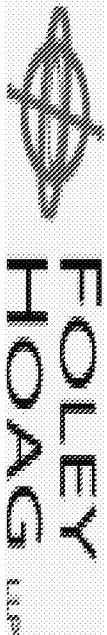


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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01640	Australia		PCT	2003225755	11-Mar-2003					Abandoned			32561.01640
<u>Owner Name:</u> Client Name: 32561 Pulmonx Agent Name: Davies Collison Cave <u>Title:COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA</u> <u>Inventors:INGENITO, Edward P.</u> <u>Attorneys: DMG JVB</u> <u>Client Reference:</u> <u>Agent Reference: 12521300</u>													
PNX-01650	Canada		PCT	2518794	11-Mar-2003					Abandoned			32561.01650
<u>Owner Name:</u> Client Name: 32561 Pulmonx Agent Name: Norton Rose Fulbright Canada LLP <u>Title:COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA</u> <u>Inventors:INGENITO, Edward P.</u> <u>Attorneys: DMG JVB</u> <u>Client Reference:</u> <u>Agent Reference: 2745-2091CA</u>													
PNX-01654	Hong Kong		REP	05106853.8	11-Mar-2003	1075819	30-Dec-2005			Abandoned			32561.01654
<u>Owner Name:</u> Client Name: 32561 Pulmonx Agent Name: Marks & Clerk (Hong Kong) <u>Title:COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA</u> <u>Inventors:INGENITO, Edward P.</u> <u>Attorneys: DMG JVB</u> <u>Client Reference:</u> <u>Agent Reference: GH-HKP11236</u>													
PNX-01660	United States of America		PRO	60363118	11-Mar-2002					Expired			32561.01660
<u>Owner Name:</u> Client Name: 32561 Pulmonx Agent Name: <u>Title:COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA</u> <u>Inventors:INGENITO, Edward P.</u> <u>Attorneys: DMG JVB</u> <u>Client Reference:</u> <u>Agent Reference:</u>													
PNX-01665	Israel		PCT	164000	11-Mar-2003					Abandoned			32561.01665
<u>Owner Name:</u> Client Name: 32561 Pulmonx Agent Name: Sanford T. Cobb & Co. <u>Title:COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA</u> <u>Inventors:INGENITO, Edward P.</u> <u>Attorneys: DMG JVB</u> <u>Client Reference:</u> <u>Agent Reference: 52681</u>													



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Case Number	Country	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01688	India		PCT	2640/DELNP/2004	11-Mar-2003					Abandoned			32561.01688

Owner Name:
Client Name: 32561 Pulmonx
Agent Name: Remyry & Sagar
Title: COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA
Inventors: INGENITO, Edward P.
Attorneys: DMG JVB
Client Reference:
Agent Reference: 2640/DELNP/2004

PNX-01677	Russian Federation		PCT	2004130293	11-Mar-2003					Abandoned			32561.01677
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Owner Name:
Client Name: 32561 Pulmonx
Agent Name: Gorodissky & Partners
Title: COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA
Inventors: INGENITO, Edward P.
Attorneys: DMG JVB
Client Reference:
Agent Reference: 2403-130357RU/253

PNX-01680	European Patent Convention		PCT	03744646.5	11-Mar-2003	1503766	09-Feb-2005			Abandoned			32561.01680
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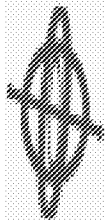
Owner Name:
Client Name: 32561 Pulmonx
Agent Name: Marks & Clerk (London Office)
Title: COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA
Inventors: INGENITO, Edward P.
Attorneys: DMG JVB
Client Reference:
Agent Reference: SJW/hnd/47392

PNX-01698	Singapore		PCT	200406049-7	11-Mar-2003					Abandoned			32561.01698
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Owner Name:
Client Name: 32561 Pulmonx
Agent Name: Lloyd Wise (Singapore)
Title: COMPOSITIONS AND METHODS FOR TREATING EMPHYSEMA
Inventors: INGENITO, Edward P.
Attorneys: DMG JVB
Client Reference:
Agent Reference: 2004060497042204

PNX-01760	United States of America		PRO	61/146880	23-Jan-2009					Expired			32561.01760
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Owner Name:
Client Name: 32561 Pulmonx
Agent Name:
Title: ENDOBRONCHIAL POLYMER-BASED TREATMENT FOR EARLY-STAGE LUNG CANCER
Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.
Attorneys: DMG JVB
Client Reference:
Agent Reference:



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Case Number	Sub Case	Case Type	Application No.	Filing Date	Publication No.	Publication Date	Patent No.	Patent Date	Status	Exp Date	Old Case Number	Billing Number
PNX-01761		PRO	61/151623	11-Feb-2009					Expired	11-Feb-2010		32561.01761

United States of America

Owner Name:

Client Name: 32561 Pulmonx

Agent Name:

Attorneys: DMG JV/B

Client Reference:

Agent Reference:

Title: ENDOBRONCHIAL POLYMER-BASED TREATMENT FOR CANCER IN THE LUNG

Inventors: INGENITO, Edward P.; KROM, James A.; SCHWARZ, Alexander; TSAI, Larry W.

TRADEMARK

REEL: 006060 FRAME: 0506

Selection Criteria

Sort by Case Number
 by Country
 by Client
 by Owner
 by Inventor
 by Agent

Format Comprehensive Concise
 Print Also Inventors Images/Links
 Remarks Show Image
 Abstract Designated Countries
 Assignments Selection Criteria
 Actions None Next All

Filing Issue Expiration Last Update
 From: To

Case Number: Billing Number: Status: Active Inactive All

Client: pnx Country: Status Codes:

Agent: Attorney: Agent: Agent:

Area: Attorney: Agent: Agent:

Inventor: Attorney: Agent: Agent:

Owner: Attorney: Agent: Agent:

Case Type: Attorney: Agent: Agent:

More ...

Client: Attorney: Agent: Agent:

Inventors: Owner: Agent: Agent:

Agent: Attorney: Agent: Agent:

TRADEMARK

REEL: 006060 FRAME: 0507

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 1

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-700/ ORD Unfiled

Country: United States of America

Title: GENERAL PATENT MATTERS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
12/20/12 PER JALTIHES, NO NEED TO CHECK PTA FOR PULMONX.

20920-703/201 ORD Abandoned 09/249,040 12-Feb-1999

Country: United States of America

Title: METHOD AND APPARATUS FOR REMOVING COLLECTED SECRETIONS FROM CUFFED VENTILATION TUBE
IN A PATIENT'S TRACHEA

Remarks: Townsend Ref. No.: 017534-00500US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
08/22/02 Abandoned.

20920-704/601 ORD Expired US2000/029417 24-Oct-2000

Country: Patent Cooperation Treaty

Title: APPARATUS AND METHOD FOR ISOLATED LUNG ACCESS

Remarks: Townsend Ref. No.: 017534-000600PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-704/201 ORD ISSUED 09/425,272 21-Oct-1999

Country: United States of America

Title: APPARATUS AND METHOD FOR ISOLATED LUNG ACCESS

Remarks: Townsend Ref. No.: 017534-000600US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-704/401 DIV Abandoned 10/074,861 11-Feb-2002

Country: United States of America

Title: APPARATUS AND METHOD FOR ISOLATED LUNG ACCESS

Remarks: Townsend Ref. No.: 017534-000610US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
12/1/02 Abandoned.

TRADEMARK

Patent Status Report by Client

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-705/681	PCT	Granted		59109/00	781579	29-Jun-2000	15-Sep-2005		
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Country: Australia

Title: METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-000710AU (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-705/701	PCT	TO BE ABAND		2,375,752		29-Jun-2000			
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Country: Canada

Title: METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-000710CA (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) 12/27/01 Large Entity elected for Canada to avoid needing to execute multiple Small Entity Declarations. 11/29/11 Notice of Abandonment recvd from FA. PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

6/15/12 JHES INSTRUCTED FA TO ALLOW APPLIC TO LAPSE THROUGH NON-PAYMENT OF MAINTENANCE FEE. 7/12/12 FA ACKD: PER JHES TO FA 6/15/12, CLIENT CONFIRMED WANT TO ALLOW APPLN TO LAPSE

20920-705/611	PCT	Abandoned		00945122.0		29-Jun-2000			
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Country: European Patent Convention

Title: METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-000710EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) 12/01/10 Client sent email to FA with instructions to abandon. FA acknowledged.

20920-705/761	PCT	Granted		507530/01	4185283	29-Jun-2000	12-Sep-2008		
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Country: Japan

Title: METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-000710JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-705/601	ORD	30 MO DONE		US2000/018286		29-Jun-2000			
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Country: Patent Cooperation Treaty

Title: METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-000710PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) Filed in AU, CA, EP, and JP.

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 3

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-705/201	ORD	ISSUED		09/347,032	6,287,290	02-Jul-1999	11-Sep-2001		
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Country: United States of America

Title: METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-000700US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; NOTICE OF ACCEPTANCE OF POA REC'D 01/12/12

20920-705/301	CON	ISSUED		10/017,068	7,141,046	13-Dec-2001	28-Nov-2006	Tax 11.5	28-May-2018
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Country: United States of America

Title: METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-000730US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-705/302	CON	ISSUED		10/923,109	7,458,963	20-Aug-2004	02-Dec-2008	Tax 11.5	02-Jun-2020
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Country: United States of America

Title: METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-000750US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-705/303	CON	ISSUED		11/104,717	7,766,895	12-Apr-2005	03-Aug-2010	Tax 7.5	03-Feb-2018
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Country: United States of America

Title: METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-000760US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Patent Status Report by Client

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-705/304	CON	ISSUED		12/820,402	8,177,769	22-Jun-2010	Tax 7.5	15-Nov-2019
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Country:	United States of America					15-May-2012	2nd Maint. Fee Extension	15-May-2020
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Title:	METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION						Tax 11.5	15-Nov-2023
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							3rd Maint. Fee Extension	15-May-2024
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Remarks: Townsend Ref. No.: 017534-000770US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

10/26/12 ACKNOWLEDGEMENT OF LETTERS PATENT RCV'D
IDS FILED 08/31/10, 11/23/10

NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11;
ISSUE NOTIFICATION 4/25/12;
LETTERS PATENT RCV'D 5/18/12;

20920-705/401	DIV	ISSUED		09/898,703	6,709,401	02-Jul-2001		
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Country:	United States of America					23-Mar-2004		
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Title:	METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION							
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Remarks: Townsend Ref. No.: 017534-000720US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-705/402	DIV	ISSUED		10/765,380	7,186,259	26-Jan-2004	Tax 11.5	06-Sep-2018
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Country:	United States of America					06-Mar-2007	3rd Maint. Fee Extension	06-Mar-2019
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Title:	METHODS, SYSTEMS, AND KITS FOR LUNG VOLUME REDUCTION							
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Remarks: Townsend Ref. No.: 017534-000740US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-705/501	CIP	ISSUED		09/606,320	6,878,141	28-Jun-2000	3rd Maint. Fee Extension	12-Apr-2017
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Country:	United States of America					12-Apr-2005		
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Title:	METHODS, SYSTEMS AND KITS FOR LUNG VOLUME REDUCTION							
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Remarks: Townsend Ref. No.: 017534-000710US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Patent Status Report by Client

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-706/201	ORD	Abandoned		09/523.016		10-Mar-2000			
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Country: United States of America

Title: METHODS AND APPARATUS FOR RELIEVING EXCESS LUNG PRESSURE

Remarks: Townsend Ref. No.: 017534-001000US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

02/04/08 Abandoned.

20920-707/611	PCT	Granted		01987556.6	1339445	26-Oct-2001	28-May-2008		
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Country: European Patent Convention

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001200EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11. CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

Validated in DE, FR, GB, & IT.

20920-707/631	EPC	Abandoned		01987556.6	1339445	26-Oct-2001	28-May-2008		
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Country: France

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001200FR (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - Abandoned per TTC report and EP Reg.

20920-707/621	EPC	Granted		01987556.6	1339445	26-Oct-2001	28-May-2008		
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Country: Germany

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001200DE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11. CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-707/663	EPC	Abandoned		01987556.6	1339445	26-Oct-2001	28-May-2008		
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Country: Italy

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001200IT (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - Abandoned per TTC report and EP Reg.

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 6

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-707/761	PCT	Abandoned		2002-540629		26-Oct-2001			

Country: Japan

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001200JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-707/601

ORD 30 MO DONE US2001/051092 26-Oct-2001

Country: Patent Cooperation Treaty

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001200PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP (DE, FR, GB, & IT) and JP.

20920-707/641

EPC Abandoned 019875566 26-Oct-2001

Country: United Kingdom

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001200GB (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - Abandoned per TTC report and EP Reg.

20920-707/201

ORD ISSUED 09/699,302 27-Oct-2000

Country: United States of America

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001200US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-707/301

CON ISSUED 10/382,131 04-Mar-2003

Country: United States of America

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001210US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 7

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	App Date	Next Action(s)	Due Date(s)
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20920-707/302	CON	Abandoned		11/271,211	09-Nov-2005		
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Country: United States of America

Title: METHODS AND DEVICES FOR OBSTRUCTING AND ASPIRATING LUNG TISSUE SEGMENTS

Remarks: Townsend Ref. No.: 017534-001220US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

07/15/08 Abandoned.

20920-708/611	PCT	Abandoned		02715221.4	26-Oct-2001		
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Country: European Patent Convention

Title: SHEATH AND METHOD FOR RECONFIGURING LUNG VIEWING SCOPE

Remarks: Townsend Ref. No.: 017534-001300EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-708/601	ORD	30 MO DONE		US2002/09538	26-Oct-2001		
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Country: Patent Cooperation Treaty

Title: SHEATH AND METHOD FOR RECONFIGURING LUNG VIEWING SCOPE

Remarks: Townsend Ref. No.: 017534-001300PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) (PCT/US01/51304 accidentally assigned to this family. Legal petition granted. -Per TTC report)

Filed in EP.

20920-708/201	ORD	ISSUED		09/699,313	27-Oct-2000		
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Country: United States of America

Title: SHEATH AND METHOD FOR RECONFIGURING LUNG VIEWING SCOPE

Remarks: Townsend Ref. No.: 017534-001300US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-709/650	EPP	Granted		02768834.0	10-Sep-2002		
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Country: Austria

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 8

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-709/651	EPP	Granted		02768834.0	1435833	10-Sep-2002	21-May-2014		
Country: Belgium									
Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS									
Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;									
1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.									
20920-709/611	PCT	Granted		02768834.0	1435833	10-Sep-2002	21-May-2014		
Country: European Patent Convention									
Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS									
Remarks: Townsend Ref. No.: 017534-001710EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;									
1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.									
20920-709/631	EPP	Granted		02768834.0	1435833	10-Sep-2002	21-May-2014		
Country: France									
Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS									
Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;									
9/29/14 Per FA, change of applicant's address was recorded.									
1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.									
20920-709/621	EPP	Granted		02768834.0	1435833	10-Sep-2002	21-May-2014		
Country: Germany									
Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS									
Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;									
10/27/14 Confirmation change of address recorded revd from FA.									
9/29/14 Per FA, change of applicant's address was recorded.									
1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.									

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-709/662	EPP	Granted		02768834.0	1435833	10-Sep-2002	21-May-2014	ANNUITY	10-Sep-2017

Country: Ireland

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.

9/14/16 Renewal certificate rec'd from FA - Email (chui)

20920-709/663

EPP

Granted

02768834.0

10-Sep-2002

Country: Italy

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.

20920-709/761

PCT

Granted

2003-526351

4301945

10-Sep-2002
01-May-2009

Country: Japan

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: Townsend Ref. No.: 017534-001710JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-709/666

EPP

Granted

02768834.0

1435833

10-Sep-2002
21-May-2014

Country: Netherlands

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.

20920-709/601

ORD

30 MO DONE

US2002/028863

10-Sep-2002

Country: Patent Cooperation Treaty

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: Townsend Ref. No.: 017534-001710PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP & JP.

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-709/653 EPP Granted 02768834.0 10-Sep-2002 21-May-2014

Country: Switzerland 1435833

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.

20920-709/672 EPP Granted 02768834.0 10-Sep-2002 21-May-2014

Country: Turkey TR 2014 07680 T4

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.

20920-709/641 EPP Granted 02768834.0 10-Sep-2002 21-May-2014

Country: United Kingdom 1435833

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

9/29/14 Per FA, change of applicant's address was recorded.
1/23/14 Instructed to validate in: AT, BE, CH, DE, FR, GB, IE, IT, NL & TR.

20920-709/101 PRO Expired 60/318,539 10-Sep-2001

Country: United States of America

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: Townsend Ref. No.: 017534-001700US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-709/201	ORD	Abandoned		10/241,733		10-Sep-2002			

Country: United States of America

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: Townsend Ref. No.: 017534-001710US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; 12/20/12 PER JAL/TJHES, NO NEED TO CHECK PTA FOR PULMONX.

1/14/16 Notice of Abandonment issued.
11/3/15 Per J. Roeder - appln abandoned, filing CON.

4/21/15 IDS filed.
12/5/14 IDS filed.
12/2/14 RCE filed.
1/7/14 IDS filed.
8/27/13 IDS filed.
RCE FILED 6/12/12;
IDS FILED 12/08/11;
IDS FILED 12/23/02, 07/21/03, 11/28/06, 08/11/08, 09/04/08;

20920-709/301	CON	Published		14/919,480		21-Oct-2015		Response Filed - Check Status Dec / Assignment / POA Year 2	30-Jul-2017 21-Oct-2017
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Country: United States of America

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: 7/18/16 IDS filed.
12/31/15 IDS filed.

20920-709/302	CON	Published		15/150,324		09-May-2016		Declaration / Assignment / POA RESTRICTION (Ext 1 of 4) RESTRICTION (Ext 2 of 4) Dec / Assignment / POA Year 1 RESTRICTION (Ext 3 of 4) RESTRICTION (Ext 4 of 4) Dec / Assignment / POA Year 2 Dec / Assignment / POA Year 3	09-Mar-2017 19-Mar-2017 19-Apr-2017 09-May-2017 19-May-2017 19-Jun-2017 09-May-2018 09-May-2019
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Country: United States of America

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: 7/18/16 IDS filed.

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	App Date	Next Action(s)	Due Date(s)
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20920-709/401	DIV		FINAL REJ	12/108.035	23-Apr-2008		
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Country: United States of America

Title: METHOD AND APPARATUS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: Townsend Ref. No.: 017534-001720US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
 12/20/12 PER JALTI/HES, NO NEED TO CHECK PTA FOR PULMONX.

- 12/31/14 IDS filed.
- 12/5/14 IDS filed
- 3/19/14 RCE filed
- 12/18/13 IDS filed.
- 9/18/12 IDS FILED
- 8/20/12 RCE FILED
- IDS FILED 08/11/08, 04/09/09;
- IDS FILED 12/08/11
- NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11

20920-710/601	ORD	Expired		US2002/28977	11-Sep-2002		
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Country: Patent Cooperation Treaty

Title: METHODS OF ENDOBRONCHIAL DIAGNOSIS USING IMAGING

Remarks: Townsend Ref. No.: 017534-001910PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-710/101	PRO	Expired		60/322.366	11-Sep-2001		
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Country: United States of America

Title: METHODS OF ENDOBRONCHIAL DIAGNOSIS USING IMAGING

Remarks: Townsend Ref. No.: 017534-001900US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-710/201	ORD	Abandoned		10/241.974	11-Sep-2002		
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Country: United States of America

Title: METHODS OF ENDOBRONCHIAL DIAGNOSIS USING IMAGING

Remarks: Townsend Ref. No.: 017534-001910US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 02/23/04 Abandoned.

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-711/611	PCT	Published		05851745.9		16-Nov-2005			

Country: European Patent Convention

Title: OCCLUSAL STENT AND METHODS FOR ITS USE

Remarks: Townsend Ref. No.: 017534-002010EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-711/761	PCT	Published		2007-543218		16-Nov-2005			
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Country: Japan

Title: OCCLUSAL STENT AND METHODS FOR ITS USE

Remarks: Townsend Ref. No.: 017534-002010JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
08/24/11 Per email from Scott Smith at Knobbe, client decided to abandon this application.
REQUESTED CLIENT 9/13/11 TO CONFIRM IF THIS APPLICATION IS TO BE ABANDONED
09/14/11 Abandonment instructions confirmed by email from client.
09/21/11 PA informed of transfer to WSGR and also instructed to abandon application and incur no further expenses.; FA ACK. 10/16/11

20920-711/601	ORD	30 MO DONE		US2005/041627		16-Nov-2005			
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Country: Patent Cooperation Treaty

Title: OCCLUSAL STENT AND METHODS FOR ITS USE

Remarks: Townsend Ref. No.: 017534-002010PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
Filed in EP & JP.

20920-711/101	PRO	Expired		60/628,649		16-Nov-2004			
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Country: United States of America

Title: OCCLUSAL STENT AND METHODS FOR ITS USE

Remarks: Townsend Ref. No.: 017534-002000US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 14

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-711/501	CIP	Abandoned		11/280,592		15-Nov-2005			

Country: United States of America

Title: OCCLUSAL STENT AND METHODS FOR ITS USE

Remarks: Townsend Ref. No.: 017534-002010US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
 CIP of 09/699,302 (#707,201)
 12/20/12 PER JAL/TJHES, NO NEED TO CHECK PTA FOR PULMONX.

2/26/15 Notice of abandonment issued
 2/9/15 Per JHES, client instructed to let appln lapse.

8/27/13 IDS filed
 RCE FILED 07/30/10.
 IDS FILED 05/30/06, 08/11/08, 01/27/09
 NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11;
 IDS FILED 11/29/11;
 RCE FILED 05/14/12

20920-712/611	PCT	Published		05824089,6		16-Nov-2005			
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Country: European Patent Convention

Title: PULMONARY OCCLUSAL STENT DELIVERY CATHETER, LOADING SYSTEM AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-002110EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-712/761	PCT	Published		2007-543220		16-Nov-2005			
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Country: Japan

Title: PULMONARY OCCLUSAL STENT DELIVERY CATHETER, LOADING SYSTEM AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-002110JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-712/601	ORD	30 MO DONE		US2005/041642		16-Nov-2005			
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Country: Patent Cooperation Treaty

Title: PULMONARY OCCLUSAL STENT DELIVERY CATHETER, LOADING SYSTEM AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-002110PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP & JP.

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-712/101	PRO	Expired		60/628,856		16-Nov-2004			

Country: United States of America

Title: PULMONARY OCCLUSAL STENT DELIVERY CATHETER, LOADING SYSTEM AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-002100US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-712/201

ORD Abandoned

11/280,530

15-Nov-2005

Country: United States of America

Title: PULMONARY OCCLUSAL STENT DELIVERY CATHETER, LOADING SYSTEM AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-002110US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

07/06/10 Abandoned.

20920-712/301

CON ISSUED

12/730,932

24-Mar-2010

Country: United States of America

Title: PULMONARY OCCLUSAL STENT DELIVERY CATHETER, LOADING SYSTEM AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-002120US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

8/6/13 acknowledgement of letters patent rev'd;
 1/2/13 LETTERS PATENT RCVD;
 3/13/13 ISSUE NOTIFICATION;
 IDS FILED 12/08/11;
 NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11;
 IDS FILED 06/17/10;

20920-712/401

DIV ISSUED

13/787,223

06-Mar-2013

Country: United States of America

Title: PULMONARY OCCLUSAL STENT DELIVERY CATHETER, LOADING SYSTEM AND METHODS OF USE

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

9/18/15 Original Letters Patent rec'd.
 2/5/15 IDS filed.
 12/13/13 Updated filing receipt issued
 6/14/13 IDS filed;
 4/9/13 FILING RECEIPT ISSUED

Letter to client re broadening	15-Mar-2017
BROADEN REISSUE?	15-Sep-2017
Tax 3.5	15-Mar-2019
1st Maint. Fee Extension	15-Sep-2019
Tax 7.5	15-Mar-2023
2nd Maint. Fee Extension	15-Sep-2023
Tax 11.5	15-Mar-2027
3rd Maint. Fee Extension	15-Sep-2027

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number Pat Number	App Date Iss Date	Next Action(s)	Due Date(s)
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20920-713/611	PCT	Abandoned		04700437.9	07-Jan-2004		
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Country: European Patent Convention

Title: METHOD AND ARRANGEMENT FOR REDUCING THE VOLUME OF A LUNG

Remarks: Townsend Ref. No.: 017534-002700EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-713/621	ORD	Expired		10302310.0	20-Jan-2003		
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Country: Germany

Title: METHOD AND ARRANGEMENT FOR REDUCING THE VOLUME OF A LUNG

Remarks: Townsend Ref. No.: OP017534-002710DE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-713/601	ORD	30 MO DONE		DE2004/000008	07-Jan-2004		
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Country: Patent Cooperation Treaty

Title: METHOD AND ARRANGEMENT FOR REDUCING THE VOLUME OF A LUNG

Remarks: Townsend Ref. No.: 017534-002710PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP.

20920-713/201	ORD	Abandoned		10/981,346	03-Nov-2004		
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Country: United States of America

Title: METHOD AND ARRANGEMENT FOR REDUCING THE VOLUME OF A LUNG

Remarks: Townsend Ref. No.: 017534-002710US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

11/13/07 Abandoned.

20920-714/611	PCT	Granted		06717427.6 1838217	04-Jan-2006 25-Jun-2014		
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Country: European Patent Convention

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 4/10/14 JHES informed FA client would like to validate in: CH, DE, FR, GB, IE.

PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

Townsend Ref. No.: 017534-002820EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) -

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 17

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-714/612	DIV	Granted		13163583.1	2614853	04-Jan-2006	VALIDATION DEADLINE	28-Mar-2017
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Country: European Patent Convention

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 2/9/17 ack'd fa em. Sent FA em confirming client instructions to validate in DE, FR and GB only. -gkh

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

2/17/17 EPO refund of fees (bw9)

6/20/13 Per NH8, FA reported publication notice issued 6/19/13;

20920-714/613	PCT	Published		11837120.2		27-Oct-2011		
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Country: European Patent Convention

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-714/631	EPP	Granted		06717427.6	1838217	04-Jan-2006		
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Country: France

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 4/10/14 JHES informed FA client would like to validate in: CH, DE, FR, GB, IE.

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-714/632	EPP	Granted		13163583.1	2614853	04-Jan-2006		
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Country: France

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 2/9/17 ack'd fa em. Sent FA em confirming client instructions to validate in DE, FR and GB only. -gkh

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

2/17/17 EPO refund of fees (bw9)

6/20/13 Per NH8, FA reported publication notice issued 6/19/13;

20920-714/621	EPP	Granted		06717427.6	1838217	04-Jan-2006		
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Country: Germany

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 1/12/14 Per FA, change of applicant's address was recorded in Germany.

4/10/14 JHES informed FA client would like to validate in: CH, DE, FR, GB, IE.

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-714/622	EPP	Granted		13163583.1	2614853	04-Jan-2006	28-Dec-2016		
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Country: Germany

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 2/9/17 ack'd fa em. Sent FA em confirming client instructions to validate in DE, FR and GB only. -gkh

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

2/17/17 EPO refund of fees (bw9)

6/20/13 Per NH8, FA reported publication notice issued 6/19/13;

20920-714/662	EPP	Granted		06717427.6	1838217	04-Jan-2006	25-Jun-2014		
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Country: Ireland

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 4/10/14 JHES informed FA client would like to validate in: CH, DE, FR, GB, IE.

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-714/761	PCT	Granted		2007-552150	5430855	04-Jan-2006	13-Dec-2013		
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Country: Japan

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: Townsend Ref. No.: 017534-002820JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

3/24/14 Copy of official gazette recvd from FA.

20920-714/601	ORD			30 MO DONE	US2006/000221	04-Jan-2006			
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Country: Patent Cooperation Treaty

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: Townsend Ref. No.: 017534-002820PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP & JP.

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-714/602	ORD			30 MO DONE	US2011/058157	27-Oct-2011		

Country: Patent Cooperation Treaty

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

5/10/13 IPRP ISSUED/RCVD;
 3/14/13 EPO COMMUNICATION RE ASSIGNED EP APPLN NO. 11837120.2 MAILED 3/8/13 RECVD
 2/28/13 2ND NOTICE REGARDING INTL APPLICATION REC'D
 FILING RECEIPT REC'D 11/21/11 (NOTICE RE PAYMENT OF PRESCRIBED FEES, NOTICE RE THE
 INTERNATIONAL FILING NUMBER AND DATE, NOTICE OF RECEIPT OF SEARCH COPY); NOTIFICATION OF
 RECEIPT OF RECORD COPY REC'D 11/28/11 (CONFIRMATION COPY REC'D 12/13/11); NOTIFICATION
 CONCERNING PRIORITY DOC REC'D 11/28/11. SUBMITTED ON 11/17/11 (CONFIRMATION COPY REC'D
 12/12/11); PER WIPO 11/25/11 COMMUNICATION, REQ CLARIFICATION ON "CONTINUATION IN PART OF"
 SHOULD NOT BE WRITTEN ON BOX VI;
 PER WIPO 3/22/12 FAX, LET WIPO KNOW IF WE WISH TO ADD A CONTINUATION IN PART IN THE
 SUPPLEMENTAL BOX OF RO/101
 FIRST NOTICE REGARDING INTL APPLICATION ISSUED 05/31/12

20920-714/653	EPP	Granted		06717427.6	1838217	04-Jan-2006		
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Country: Switzerland

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 4/10/14 JHES informed FA client would like to validate in: CH, DE, FR, GB, IE.

PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-714/641	EPP	Granted		06717427.6	1838217	04-Jan-2006		
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Country: United Kingdom

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 4/10/14 JHES informed FA client would like to validate in: CH, DE, FR, GB, IE.

PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-714/642	EPP	Granted		13163583.1	2614853	04-Jan-2006		
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Country: United Kingdom

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: 2/9/17 ack'd fa em. Sent FA em confirming client instructions to validate in DE, FR and GB only. -gkh

PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

2/17/17 EPO refund of fees (bw9)
 6/20/13 Per NH8, FA reported publication notice issued 6/19/13;

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-714/101	PRO	Expired		60/645,711		20-Jan-2005			

Country: United States of America

Title: MINIMALLY INVASIVE COLLATERAL FLOW MEASUREMENT IN LUNGS

Remarks: Townsend Ref. No.: 017534-002800US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-714/102	PRO	Expired		60/696,940		05-Jul-2005			
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Country: United States of America

Title: MINIMALLY INVASIVE QUANTITATIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: Townsend Ref. No.: 017534-002810US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-714/301	CON	ISSUED	129972,225	17-Dec-2010	1st Maint. Fee Extension	04-Jun-2017
			8,454,527	04-Jun-2013	Tax 7.5	04-Dec-2020
					2nd Maint. Fee Extension	04-Jun-2021
					Tax 11.5	04-Dec-2024
					3rd Maint. Fee Extension	04-Jun-2025

Country: United States of America

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: Townsend Ref. No.: 017534-002821US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; 12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.

8/6/13 acknowledgement of letters patent rec'd;
 6/6/13 Original Letters Patent rec'd
 5/15/13 ISSUE NOTIFICATION;
 11/19/12 IDS FILED
 IDS FILED 02/22/11; IDS FILED 12/08/11;
 NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11;
 IDS FILED 4/11/12;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-714/302	CON	Abandoned		13/866,935		19-Apr-2013			

Country: United States of America

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

- 1/11/16 Notice of Abandonment issued.
- 1/5/16 IDS filed.
- 12/28/15 JHES ackd client instruction to drop case.

- 5/28/15 Notice of recordation of assignment issued
- 3/12/15 IDS filed
- 2/13/14 Updated filing receipt issued
- 8/27/13 IDS filed
- 6/3/13 IDS filed;
- 5/31/13 Filing Receipt issued;

20920-714/401	DIV	Allowed		13/891,719		10-May-2013			
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Country: United States of America

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

- 1/5/16 IDS filed.
- 3/12/15 IDS filed
- 8/27/13 IDS filed
- 6/14/13 Filing Receipt issued
- 6/3/13 IDS filed

20920-714/501	CIP	ISSUED		11/296,951		07-Dec-2005		Tax 7.5	08-Aug-2018
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Country: United States of America

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

2nd Maint. Fee Extension 08-Feb-2019

Tax 11.5 08-Aug-2022

3rd Maint. Fee Extension 08-Feb-2023

Remarks: Townsend Ref. No.: 017534-002820US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

CIP of 10/241,733 (#709,201)
 NOTICE OF ACCEPTANCE OF POA REC'D 1/3/2012

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	App Date	Next Action(s)	Due Date(s)
20920-714/502	CIP	ISSUED		12/913.637	8,523,782	27-Oct-2010	27-Oct-2010	Tax 3.5 1st Maint. Fee Extension Tax 7.5	03-Mar-2017 03-Sep-2017 03-Mar-2021

Country: United States of America

Title: MINIMALLY INVASIVE DETERMINATION OF COLLATERAL VENTILATION IN LUNGS

2nd Maint. Fee Extension
Tax 11.5
3rd Maint. Fee Extension

03-Sep-2021
03-Mar-2025
03-Sep-2025

TRADEMARK

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
10/17/13 Acknowledgement of receipt of letters patent rev'd;
9/3/13 Letters Patent issued
8/14/13 Issue notification issued;
4/30/13 NOA ISSUED;
3/23/13 JHES CONFIRMED W/CLIENT WILL ALLOW THIS APPLN TO LAPSE. CLIENT ACK'D.

Townsend Ref. No.: 017534-002830US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
12/20/12 PER JAL/TJHES, NO NEED TO CHECK PTA FOR PULMONX.

2/25/13 IDS FILED;
9/18/12 IDS FILED
IDS FILED 12/08/11;
IDS FILED 4/11/12;

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-715/611	PCT	Abandoned		06787391.9			13-Jul-2006		
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Country: European Patent Convention

Title: ENDOBRONCHIAL LUNG DIAGNOSTICS SYSTEMS (ELDS)

Remarks: Townsend Ref. No.: 017534-003010EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
(Abandoned per TTC report)

20920-715/761	PCT	Abandoned		2008-521660			13-Jul-2006		
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Country: Japan

Title: ENDOBRONCHIAL LUNG DIAGNOSTICS SYSTEMS (ELDS)

Remarks: Townsend Ref. No.: 017534-003010JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
(Abandoned per TTC report)

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-715/601	ORD	30 MO DONE		US2006/027478		13-Jul-2006			
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Country: Patent Cooperation Treaty

Title: ENDOBRONCHIAL LUNG DIAGNOSTICS SYSTEMS (ELDS)

Remarks: Townsend Ref. No.: 017534-003010PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP & JP.

20920-715/101	PRO	Expired		60/699,289		13-Jul-2005			
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Country: United States of America

Title: ENDOBRONCHIAL LUNG DIAGNOSTICS SYSTEMS (ELDS)

Remarks: Townsend Ref. No.: 017534-003000US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-715/301	CON	Abandoned		11/550,660		18-Oct-2006			
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Country: United States of America

Title: METHODS AND SYSTEMS FOR SEGMENTAL LUNG DIAGNOSTICS

Remarks: Townsend Ref. No.: 017534-003020US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
 CON of PCT/US2006/027478.

8/15/12 NOTICE OF ABANDONMENT ISSUED;
 8/6/12 PER JHES, INSTRUCTION RCVD TO ABANDON APPLICATION;
 IDS FILED 11/30/06, 06/04/07, 03/01/10
 NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11

20920-715/501	CIP	Abandoned		11/428,762		05-Jul-2006			
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Country: United States of America

Title: METHODS AND SYSTEMS FOR SEGMENTAL LUNG DIAGNOSTICS

Remarks: Townsend Ref. No.: 017534-003010US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

11/03/06 Abandoned (pre-examination).

20920-716/601	ORD	Expired		US2006/032418		17-Aug-2006			
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Country: Patent Cooperation Treaty

Title: SELECTIVE LUNG TISSUE ABLATION

Remarks: Townsend Ref. No.: 017534-003110PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

Patent Status Report by Client

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-716/101	PRO	Expired		60/709,376		17-Aug-2005		

Country: United States of America

Title: SELECTIVE LUNG TISSUE ABLATION

Remarks: Townsend Ref. No.: 017534-003100US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-716/201	ORD	ISSUED		11/460,860	7,628,789	28-Jul-2006	Tax 7.5	08-Jun-2017
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Country: United States of America

Title: SELECTIVE LUNG TISSUE ABLATION

Remarks: Townsend Ref. No.: 017534-003110US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; NOTICE OF ACCEPTANCE OF POA REC'D 01/04/12

20920-716/301	CON	ISSUED		12/606,007	8,568,403	26-Oct-2009	Tax 3.5	29-Apr-2017
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Country: United States of America

Title: SELECTIVE LUNG TISSUE ABLATION

Remarks: Townsend Ref. No.: 017534-003120US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) -

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

12/20/12 PER JALT/HES, NO NEED TO CHECK PTA FOR PULMONX.

3rd Maint. Fee Extension

29-Oct-2025

5/28/15 Notice of recordation issued.

5/12/14 Per JROE, client ack'd receipt of Letters Patent

11/5/13 Letters Patent rcv'd;

10/9/13 Issue notification issued;

9/30/13 Supplemental notice of allowability rcv'd

6/14/13 IDS filed;

IDS FILED 12/08/11;

NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11

IDS FILED 03/26/10;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-716/302	CON	ISSUED		14/033,163	9,486,266	20-Sep-2013 08-Nov-2016	Letter to client re broadening BROADEN REISSUE? Tax 3.5 1st Maint. Fee Extension Tax 7.5 2nd Maint. Fee Extension Tax 11.5 3rd Maint. Fee Extension	08-May-2018 08-Nov-2018 08-May-2020 08-Nov-2024 08-May-2028 08-Nov-2028
Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; 12/20/12 PER JALT/HES, NO NEED TO CHECK PTA FOR PULMONX. 11/16/16 Original Letters Patent rec'd - (chui) 4/12/16 Terminal Disclaimer filed. 12/18/13 IDS filed. 10/10/13 Filing receipt issued;								

TRADEMARK

20920-716/303	CON	Pending		15/332,902		24-Oct-2016	MISSING PARTS (Ext 2 of 5) MISSING PARTS (Ext 3 of 5) Declaration / Assignment / POA MISSING PARTS (Ext 4 of 5) MISSING PARTS (Ext 5 of 5) Declaration / Assignment / POA Declaration / Assignment / POA Dec / Assignment / POA Year 1 Application Status Check Dec / Assignment / POA Year 2 Dec / Assignment / POA Year 3	04-Mar-2017 04-Apr-2017 24-Apr-2017 04-May-2017 04-Jun-2017 24-Jun-2017 24-Aug-2017 24-Oct-2017 24-Apr-2018 24-Oct-2018 24-Oct-2019
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20920-717/101 PRO Expired 60/756,732 06-Jan-2006
 Country: United States of America
Title: COLLATERAL PATHWAY TREATMENT USING AGENT ENTRAINED BY ASPIRATION FLOW CURRENT
Remarks: Townsend Ref. No.: 017534-003300US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-717/201 ORD Abandoned 11/620,016 04-Jan-2007
 Country: United States of America
Title: COLLATERAL PATHWAY TREATMENT USING AGENT ENTRAINED BY ASPIRATION FLOW CURRENT
Remarks: Townsend Ref. No.: 017534-003310US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 02/22/11 Abandoned.

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	App Date	Next Action(s)	Due Date(s)
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20920-717/501	CIP	ISSUED		12/883,039	8,876,791	15-Sep-2010	04-Nov-2014	Tax 3.5 1st Maint. Fee Extension Tax 7.5	04-May-2018 04-Nov-2018 04-May-2022
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Title: COLLATERAL PATHWAY TREATMENT USING AGENT ENTRAINED BY ASPIRATION FLOW CURRENT

Remarks: Townsend Ref. No.: 017534-003320US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 Also CIP of I/067,025 (#743,201)
 PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
 12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.

3rd Maint. Fee Extension

04-Nov-2026

11/10/14 Original Letters Patent rec'd.

2/27/13 IDS FILED

IDS FILED 12/08/11;

20920-718/101	PRO	Expired		60/759,713			17-Jan-2006		
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Country: United States of America

Title: STENT DELIVERY CATHETER SYSTEM AND METHOD FOR ENDOBRONCHIAL VOLUME REDUCTION

Remarks: Townsend Ref. No.: 017534-003400US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-718/201	ORD	Abandoned		11/624,136			17-Jan-2007		
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Country: United States of America

Title: SYSTEMS AND METHODS FOR DELIVERING FLOW RESTRICTIVE ELEMENT TO AIRWAY IN LUNGS

Remarks: Townsend Ref. No.: 017534-003410US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

04/08/11 Abandoned.

20920-719/611	PCT	Published		07758138.7			08-Mar-2007		
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Country: European Patent Convention

Title: METHODS AND DEVICES TO INDUCE CONTROLLED ATELECTASIS AND HYPOXIC PULMONARY VASOCONSTRICTION

Remarks: Townsend Ref. No.: 017534-003510EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-719/601	ORD		30 MO DONE	US2007/063557		08-Mar-2007			
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Country: Patent Cooperation Treaty

Title: METHODS AND DEVICES TO INDUCE CONTROLLED ATELECTASIS AND HYPOXIC PULMONARY VASOCONSTRICTION

Remarks: Townsend Ref. No.: 017534-003510PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP.

20920-719/101	PRO		Expired	60/780,577		08-Mar-2006			
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Country: United States of America

Title: METHODS AND DEVICES TO INDUCE LOCALIZED HYPOXIC PULMONARY VASOCONSTRICTION

Remarks: Townsend Ref. No.: 017534-003500US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-719/201	ORD		ISSUED	11/682,986	8,136,526	07-Mar-2007	20-Mar-2012	Tax 7.5 2nd Maint. Fee Extension Tax 11.5 3rd Maint. Fee Extension	20-Sep-2019 20-Mar-2020 20-Sep-2023 20-Mar-2024
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Country: United States of America

Title: METHODS AND DEVICES TO INDUCE CONTROLLED ATELECTASIS AND HYPOXIC PULMONARY VASOCONSTRICTION

Remarks: Townsend Ref. No.: 017534-003510US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

RCE FILED 09/02/10.
IDS FILED 05/10/07, 10/30/07, 01/09/08,

NOTICE OF ACCEPTANCE OF POA REC'D 11/07/11;
ISSUE NOTIFICATION ISSUED 2/29/12;
LETTERS PATENT RCVD 3/23/12;

20920-720/611	PCT		Published	08732032.1		12-Mar-2008			
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Country: European Patent Convention

Title: METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION

Remarks: Townsend Ref. No.: 017534-003710EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-720/761	PCT	Granted		2009-553749	5452238	12-Mar-2008	10-Jan-2014		
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Country: Japan

Title: METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION

Remarks: Townsend Ref. No.: 017534-003710JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)- PER V44 12/30/11. CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; 4/23/14 Publn of patent recvd from FA

20920-720/601	ORD	30 MO DONE		US2008/056706		12-Mar-2008			
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Country: Patent Cooperation Treaty

Title: METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION

Remarks: Townsend Ref. No.: 017534-003710PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-720/301	CON	ISSUED		13/938,025	9,533,116	09-Jul-2013	03-Jan-2017	Letter to client re broadening BROADEN REISSUE?	03-Jul-2018
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Country: United States of America

Title: METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION

Remarks: PER V44 12/30/11. CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/10/17 Original Letters Patent rec'd - (chni)

1st Maint. Fee Extension

03-Jan-2021

6/17/16 RCE and e-TD filed

Tax 3.5

03-Jul-2020

5/27/15 Notice of Recordation issued.

Tax 7.5

03-Jul-2024

2/5/15 IDS filed.

2nd Maint. Fee Extension

03-Jan-2025

8/11/14 IDS filed.

Tax 11.5

03-Jul-2028

7/31/13 IDS filed

3rd Maint. Fee Extension

03-Jan-2029

7/29/13 Filing receipt issued; 12/20/12 PER JALT/HES, NO NEED TO CHECK PTA FOR PULMONX.

TRADEMARK

Patent Status Report by Client

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-720/302	CON	Pending		15/358,483		22-Nov-2016	Amend Spec re priority claim?	22-Mar-2017

Country: United States of America
 Title: METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION

- Declaration / Assignment / POA
- Declaration / Assignment / POA
- Declaration / Assignment / POA
- Declaration / Assignment / POA
- Declaration / Assignment / POA
- Dec / Assignment / POA Year 1
- Application Status Check
- Dec / Assignment / POA Year 2
- Dec / Assignment / POA Year 3

20920-720/401	DIV	Published		14/703,670		04-May-2015	RESTRICTION (2-MO DEADLINE)	28-Feb-2017
Country: United States of America								
Title: METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION								
Remarks: 1/15/16 IDS filed.								
6/30/15 IDS filed.								
RESTRICTION (Ext 1 of 4)								
RESTRICTION (Ext 2 of 4)								
Dec / Assignment / POA Year 2								
RESTRICTION (Ext 3 of 4)								
RESTRICTION (Ext 4 of 4)								
Dec / Assignment / POA Year 3								

20920-720/501
 Country: United States of America
 Title: METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION
 Remarks: Townsend Ref. No.: 017534-003700US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 CIP of 11/29/10 (#714,501)
 10/25/10 Abandoned.

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-720/502	CIP	ISSUED		12/407,709	9,050,094	19-Mar-2009	BROADEN REISSUE?	09-Jun-2017
						09-Jun-2015	Tax 3.5	09-Dec-2018
							1st Maint. Fee Extension	09-Jun-2019
							Tax 7.5	09-Dec-2022
							2nd Maint. Fee Extension	09-Jun-2023
							Tax 11.5	09-Dec-2026
							3rd Maint. Fee Extension	09-Jun-2027

Remarks: Townsend Ref. No.: 017534-003720US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

CIP of PCT/US2008/056706
12/20/12 PER JAL/TJHES, NO NEED TO CHECK PTA FOR PULMONX.

6/22/15 Letters Patent rev'd.
5/8/15 Corrected FR issued.
12/8/14 RCE filed.
10/9/13 RCE & amendment filed.
5/17/13 IDS FILED
9/18/12 IDS FILED
7/27/12 IDS FILED
IDS FILED 03/24/10, 07/21/10;
IDS FILED 12/08/11
NOTICE OF ACCEPTANCE OF POA REC'D 11/07/11

Country:	CIP	ISSUED	12/820,547	8,496,006	22-Jun-2010	30-Jul-2013	1st Maint. Fee Extension	30-Jul-2017
20920-720/503	United States of America						Tax 7.5	30-Jan-2021
							2nd Maint. Fee Extension	30-Jul-2021
							Tax 11.5	30-Jan-2025
							3rd Maint. Fee Extension	30-Jul-2025

Title: METHODS AND DEVICES FOR PASSIVE RESIDUAL LUNG VOLUME REDUCTION AND FUNCTIONAL LUNG VOLUME EXPANSION

Remarks: Townsend Ref. No.: 017534-003730US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
Also a CIP of 11/296,951 (#714,501)
12/20/12 PER JAL/TJHES, NO NEED TO CHECK PTA FOR PULMONX.
10/17/13 Acknowledgement of receipt of letters patent rev'd;
8/6/13 Letters patent rev'd;
7/10/13 Issue Notification;
2/25/13 IDS FILED;
9/18/12 IDS FILED
7/27/12 IDS FILED
IDS FILED 07/20/10;
IDS FILED 12/08/11;
NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-721/611	PCT	Granted		07841495.0	2056715	28-Aug-2007		
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Country: European Patent Convention

Title: FUNCTIONAL ASSESSMENT AND TREATMENT CATHETERS AND METHODS FOR THEIR USE IN THE LUNG

Remarks: Validated in GB, DE, FR

5/28/13 AAGA REPORTED LTRS PATENT TO CLIENT (ORIGINAL DOC TO FOLLOW);

5/6/13 PATENT CERTIFICATE RECVD IN FA LETTER DATED 4/29/13

Townsend Ref. No.: 017534-003810EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011);

PER VA4 EMAIL TO FA DATED 09/26/11, ALL ANNUITIES WILL BE HANDLED BY OUR ANNUITY SERVICE -

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-721/631	EPP	Granted		07841495.0	2056715	28-Aug-2007		
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Country: France

Title: FUNCTIONAL ASSESSMENT AND TREATMENT CATHETERS AND METHODS FOR THEIR USE IN THE LUNG

Remarks: Townsend Ref. No.: 017534-003810EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011);

PER VA4 EMAIL TO FA DATED 09/26/11, ALL ANNUITIES WILL BE HANDLED BY OUR ANNUITY SERVICE -

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-721/621	EPP	Granted		07841495.0	2056715	28-Aug-2007		
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Country: Germany

Title: FUNCTIONAL ASSESSMENT AND TREATMENT CATHETERS AND METHODS FOR THEIR USE IN THE LUNG

Remarks: Townsend Ref. No.: 017534-003810EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011);

PER VA4 EMAIL TO FA DATED 09/26/11, ALL ANNUITIES WILL BE HANDLED BY OUR ANNUITY SERVICE -

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-721/601	ORD		30 MO DONE	US2007/077023		28-Aug-2007		
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Country: Patent Cooperation Treaty

Title: FUNCTIONAL ASSESSMENT AND TREATMENT CATHETERS AND METHODS FOR THEIR USE IN THE LUNG

Remarks: Townsend Ref. No.: 017534-003810PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP.

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-721/641 EPP Granted 07841495.0 28-Aug-2007 13-Feb-2013

Country: United Kingdom

Title: FUNCTIONAL ASSESSMENT AND TREATMENT CATHETERS AND METHODS FOR THEIR USE IN THE LUNG

Remarks: Townsend Ref. No.: 017534-003810EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011);
 PER V44 EMAIL TO FA DATED 09/26/11, ALL ANNUITIES WILL BE HANDLED BY OUR ANNUITY SERVICE -
 PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-721/101 PRO Expired 60/823,734 28-Aug-2006

Country: United States of America

Title: BRAIDED BALLOON PULMONARY FUNCTIONAL ASSESSMENT CATHETER (BB CATHETER)

Remarks: Townsend Ref. No.: 017534-003800US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-721/201 ORD ISSUED 11/845,296 27-Aug-2007 01-Jan-2020

Country: United States of America

Title: FUNCTIONAL ASSESSMENT AND TREATMENT CATHETERS AND METHODS FOR THEIR USE IN THE LUNG

Tax 7.5 2nd Maint. Fee Extension 01-Jan-2021

Tax 11.5 3rd Maint. Fee Extension 01-Jan-2025

Remarks: Townsend Ref. No.: 017534-003810US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) -
 PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
 12/20/12 PER JALT/HES, NO NEED TO CHECK PTA FOR PULMONX.

3/19/13 ACKNOWLEDGEMENT OF LETTERS PATENT RCVD;
 1/8/13 LETTERS PATENT RCVD
 12/12/12 ISSUE NOTIFICATION ISSUED;
 8/7/12 RCE FILED
 IDS FILED 11/20/07, 04/18/08, 09/17/09;
 NOTICE OF ACCEPTANCE OF POA REC'D 11/07/11;
 IDS FILED 4/11/12;

20920-721/301 CON Pending 15/250,917 30-Aug-2016 28-Feb-2017

Country: United States of America

Title: FUNCTIONAL ASSESSMENT AND TREATMENT CATHETERS AND METHODS FOR THEIR USE IN THE LUNG

Declaration / Assignment / POA 30-Apr-2017

Declaration / Assignment / POA 30-Jun-2017

Dec / Assignment / POA Year 1 30-Aug-2017

Application Status Check 28-Feb-2018

Dec / Assignment / POA Year 2 30-Aug-2018

Dec / Assignment / POA Year 3 30-Aug-2019

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	App Date	Next Action(s)	Due Date(s)
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20920-721/401	DIV	ISSUED		13/689,344	9,439,583	29-Nov-2012	13-Sep-2016	Letter to client re broadening BROADEN REISSUE?	13-Mar-2018 13-Sep-2018
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Title: FUNCTIONAL ASSESSMENT AND TREATMENT CATHETERS AND METHODS FOR THEIR USE IN THE LUNG

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

12/20/12 PER JALT/HES, NO NEED TO CHECK PTA FOR PULMONX.

9/19/16 Original Letters Patent rec'd. Signed ackd of receipt from client rec'd 10/24/16	13-Mar-2020
4/20/16 RCE filed.	13-Sep-2020
5/28/15 Notice of recordation of assignment issued	13-Mar-2024
12/27/13 Notice of publication rec'd	13-Sep-2024
9/6/13 Updated filing receipt issued;	13-Mar-2028
3/8/13 IDS FILED	13-Sep-2028
12/31/12 FILING RECEIPT ISSUED;	

9/19/16 Original Letters Patent rec'd. Signed ackd of receipt from client rec'd 10/24/16

4/20/16 RCE filed.

5/28/15 Notice of recordation of assignment issued

12/27/13 Notice of publication rec'd

9/6/13 Updated filing receipt issued;

3/8/13 IDS FILED

12/31/12 FILING RECEIPT ISSUED;

20920-722/101	PRO	Expired		60/828,496		06-Oct-2006			
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Country: United States of America

Title: FUNCTIONAL LUNG ASSESSMENT AND THERAPEUTIC DEVICE (FLAT): STENT DETACHMENT MECHANISM

Remarks: Townsend Ref. No.: 017534-003900US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Claimed in 721 family.

20920-723/601	ORD	Expired		US2008/56292		07-Mar-2008			
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Country: Patent Cooperation Treaty

Title: METHODS AND SYSTEMS FOR OCCLUDING COLLATERAL FLOW CHANNELS IN THE LUNG

Remarks: Townsend Ref. No.: 017534-004000PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-723/201	ORD	ISSUED		11/684,950	8,137,302	12-Mar-2007	Tax 7.5	20-Sep-2019
						20-Mar-2012	2nd Maint. Fee Extension	20-Mar-2020
							Tax 11.5	20-Sep-2023
							3rd Maint. Fee Extension	20-Mar-2024

Remarks: Townsend Ref. No.: 017534-004000US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 PER VAA 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

IDS FILED 07/10/07, 09/16/08

NOTICE OF ACCEPTANCE OF POA RECD 11/07/11;
 ISSUE NOTIFICATION ISSUED 2/29/12;
 LETTERS PATENT RCVD 3/23/12;

20920-724/101	PRO	Expired		60/889,910		14-Feb-2007		
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Country: United States of America
Title: MULTI DIRECTIONAL STENT PUMP (MDSP)

Remarks: Townsend Ref. No.: 017534-004100US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-725/101	PRO	Expired		60/889,911		14-Feb-2007		
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Country: United States of America
Title: SELF STABILIZING SPHERICAL (GLOBULAR) STENT (S4-STENT)

Remarks: Townsend Ref. No.: 017534-004200US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-726/101	PRO	Expired		60/893,051		05-Mar-2007		
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Country: United States of America
Title: PULMONARY STENT REMOVAL DEVICE

Remarks: Townsend Ref. No.: 017534-004300US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-726/201	ORD	Abandoned		12/041,827		04-Mar-2008			
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Country: United States of America

Title: PULMONARY STENT REMOVAL DEVICE

Remarks: Townsend Ref. No.: 017534-004310US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

IDS FILED 06/30/08

09/21/11 Per client email, no response will be filed and therefore allow application to go abandoned; NOTICE OF ACCEPTANCE OF POA REC'D 11/10/11; NOTICE OF ABANDONMENT RCV'D 1/24/12

20920-727/101	PRO	Expired		60/893,966		09-Mar-2007			
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Country: United States of America

Title: INVERTED BRAID ASSESSMENT MEMBRANE

Remarks: Townsend Ref. No.: 017534-004400US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-728/611	PCT	Published		08743733.1		07-Mar-2008		PROCEED W/ APPLICATION	22-Jun-2017
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Country: European Patent Convention

Title: LOADING A DEVICE FOR A PULMONARY IMPLANT

Remarks: Townsend Ref. No.: 017534-004510EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-728/61	PCT	Granted		2009-553704	5528818	07-Mar-2008	25-Apr-2014	ANNUITY	25-Apr-2017
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Country: Japan

Title: LOADING A DEVICE FOR A PULMONARY IMPLANT

Remarks: 7/1/14 Publication of patent recvd from FA
Townsend Ref. No.: 017534-004510JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-728/601	ORD	30 MO DONE		US2008/056289		07-Mar-2008			
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Country: Patent Cooperation Treaty

Title: LOADING A DEVICE FOR A PULMONARY IMPLANT

Remarks: Townsend Ref. No.: 017534-004510PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

File in EP & JP.

TRADEMARK

Patent Status Report by Client

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-728/101	PRO	Expired		60/893,940		09-Mar-2007			
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Country: United States of America

Title: STENT LOADING DEVICE AND STENT REMOVAL DEVICE

Remarks: Townsend Ref. No.: 017534-004500US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-728/201	ORD	ISSUED		12/043,404	8,100,959	06-Mar-2008	24-Jan-2012		
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Country: United States of America

Title: LOADING A DEVICE FOR A PULMONARY IMPLANT

Remarks: Townsend Ref. No.: 017534-004510US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

RCE FILED 05/18/11.

IDS FILED 06/30/08, 09/16/08,

NOTICE OF ACCEPTANCE OF POA REC'D 11/07/11;
LETTERS PATENT RCVD 1/26/12;
CLIENT 2/7/12 ACK. RECEIPT OF ORIGINAL LETTERS PATENT

20920-729/101	PRO	Expired		60/948,559		09-Jul-2007			
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Country: United States of America

Title: STERILE AIRWAY GUIDE SYSTEM FOR BRONCHOSCOPE

Remarks: Townsend Ref. No.: 017534-004600US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-729/102	PRO	Expired		61/079,410		09-Jul-2008			
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Country: United States of America

Title: STERILE AIRWAY GUIDE SYSTEM FOR BRONCHOSCOPE

Remarks: Townsend Ref. No.: 017534-004610US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-730/101	PRO	Expired		61/289,868		23-Dec-2009			
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Country: United States of America

Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSTICS

Remarks: Townsend Ref. No.: 017534-004700US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-730/201	ORD	Abandoned		12/954,499		24-Nov-2010		

Country: United States of America

Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSTICS

Remarks: Townsend Ref. No.: 017534-004710US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

10/19/15 Notice of Abandonment issued.
9/11/15 Per JHES, client instructed not to respond and lapse.

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.
3/10/14 RCE filed
IDS FILED 12/08/11;

20920-731/711	PCT	Granted		200980104533.1	ZL200980104533.1	03-Jun-2009		
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Country: China (People's Republic)

Title: METHODS AND SYSTEMS FOR ASSESSING LUNG FUNCTION AND DELIVERING THERAPEUTIC AGENTS

Remarks: Townsend Ref. No.: 017534-004810CN (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011);
PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
INFORMED FA 9/25/11 THAT RESPONSIBILITY HAS BEEN TRANSFERRED TO WSGR; FA ACK. 9/26/11;

20920-731/611	PCT	Pending		09763304.4		03-Jun-2009		
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Country: European Patent Convention

Title: METHODS AND SYSTEMS FOR ASSESSING LUNG FUNCTION AND DELIVERING THERAPEUTIC AGENTS

Remarks: Townsend Ref. No.: 017534-004810EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

4/22/14 Per FA, refund of duplicate payment of annuity rec'd and provided credit note.

20920-731/601	ORD	30 MO DONE		US2009/046138		03-Jun-2009		
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Country: Patent Cooperation Treaty

Title: METHODS AND SYSTEMS FOR ASSESSING LUNG FUNCTION AND DELIVERING THERAPEUTIC AGENTS

Remarks: Townsend Ref. No.: 017534-004810PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in CN & EP.

TRADEMARK

Patent Status Report by Client

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-731/101	PRO	Expired		61/060,874		12-Jun-2008		

Country: United States of America

Title: METHODS AND SYSTEMS FOR ASSESSING LUNG FUNCTION AND DELIVERING THERAPEUTIC AGENTS

Remarks: Townsend Ref. No.: 017534-004800US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-731/201	ORD	Abandoned		12/474,169		28-May-2009		
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Country: United States of America

Title: METHODS AND SYSTEMS FOR ASSESSING LUNG FUNCTION AND DELIVERING THERAPEUTIC AGENTS

Remarks: Townsend Ref. No.: 017534-004810US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) -
PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
12/20/12 PER JALT/HES, NO NEED TO CHECK PTA FOR PULMONX.

10/7/14 Notice of Abandonment issued
8/19/14 Per client, decided to let this lapse and will not be responding to the OA.
9/18/12 IDS FILED
9/13/12 RCE FILED
IDS FILED 09/01/09
NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11

20920-732/601	ORD	Expired		US2009/047678		17-Jun-2009		
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Country: Patent Cooperation Treaty

Title: SYSTEM AND METHOD FOR DELIVERING MULTIPLE IMPLANTS INTO LUNG PASSAGEWAYS

Remarks: Townsend Ref. No.: 017534-004910PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-732/101	PRO	Expired		61/074,261		20-Jun-2008		
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Country: United States of America

Title: SYSTEM AND METHOD FOR DELIVERING MULTIPLE IMPLANTS INTO LUNG PASSAGEWAYS

Remarks: Townsend Ref. No.: 017534-004900US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-732/201	ORD	Abandoned		12/474.179		28-May-2009		
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Country: United States of America

Title: SYSTEM AND METHOD FOR DELIVERING MULTIPLE IMPLANTS INTO LUNG PASSAGEWAYS

Remarks: Townsend Ref. No.: 017534-004910US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.

1/3/13 NOTICE OF ABANDONMENT ISSUED;

8/19/12 PER CLIENT, STEVEN GONG EMAIL, WE DECIDED TO ABANDON THIS APPLICATION IN LIGHT OF THE ADVISORY ACTION; JHES ACK. 8/20/12 (WILL ALLOW APPLICATION TO LAPSE)

IDS FILED 09/28/09
NOTICE OF ACCEPTANCE OF POA REC'D 11/10/11

20920-733/711	PCT	Granted		200980135961.0	ZL200980135961.0	09-Sep-2009		
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Country: China (People's Republic)

Title: SYSTEMS AND METHODS FOR INHIBITING SECRETION FLOW INTO A FUNCTIONAL ASSESSMENT CATHETER

Remarks: Townsend Ref. No.: 017534-005010CN (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); INFORMED FA 9/25/11 THAT RESPONSIBILITY HAS BEEN TRANSFERRED TO WSGR; FA ACK. 9/26/11 -

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/13/15 Original Letters Patent rec'd.

20920-733/611	PCT	TO BE ABAND		09813553.6		09-Sep-2009		
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Country: European Patent Convention

Title: SYSTEMS AND METHODS FOR INHIBITING SECRETION FLOW INTO A FUNCTIONAL ASSESSMENT CATHETER

Remarks: 10/24/16 JHES informed FA that clienty decided to allow this application to lapse. Withdraw application before hearing date.
FA ack'd - (chui)

Townsend Ref. No.: 017534-005010EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); PER VA4 EMAIL TO FA DATED 09/26/11, ALL ANNUITIES WILL BE HANDLED BY OUR ANNUITY SERVICE -

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

2/19/13 REQUEST FOR OVERDUE SR AS FILED RCVD FROM FA;

8/14/12 PER FA, REC'D COMMUNICATION FROM EPO & SEARCH REPORT WILL BE ISSUED WITHIN 5 MONTHS

TRADEMARK

REEL: 006060 FRAME: 0546

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-733/601	ORD	Expired	30 MO DONE	US2009/056392		09-Sep-2009			

Country: Patent Cooperation Treaty

Title: SYSTEMS AND METHODS FOR INHIBITING SECRETION FLOW INTO A FUNCTIONAL ASSESSMENT CATHETER
 Remarks: Townsend Ref. No.: 017534-005010PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-733/101	PRO	Expired		61/095,582		09-Sep-2008			
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Country: United States of America

Title: SYSTEMS AND METHODS FOR INHIBITING SECRETION FLOW INTO A FUNCTIONAL ASSESSMENT CATHETER
 Remarks: Townsend Ref. No.: 017534-005000US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-733/301	CON	Abandoned		13/023,722		09-Feb-2011			
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Country: United States of America

Title: SYSTEMS AND METHODS FOR INHIBITING SECRETION FLOW INTO A FUNCTIONAL ASSESSMENT CATHETER
 Remarks: 5/20/16 Notice of Abandonment issued
 5/1/16 & 5/9/16 Per JHES, client instructed to allow to lapse.

Townsend Ref. No.: 017534-005010US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
 12/20/12 PER JAL/TJHES, NO NEED TO CHECK PTA FOR PULMONX.

9/28/15 RCE filed
 6/14/13 IDS filed;
 IDS FILED 12/08/11

20920-734/101	PRO	Expired		61/140,220		23-Dec-2008			
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Country: United States of America

Title: DEVICE FOR MEASURING SIZE OF BODY PASSAGEWAYS
 Remarks: Townsend Ref. No.: 017534-005100US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-735/681	PCT	Abandoned		2001-260840		18-May-2001			
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Country: Australia

Title: BRONCHIOPULMONARY OCCLUSION DEVICES AND LUNG VOLUME REDUCTION METHODS
 Remarks: Townsend Ref. No.: 017534-005200AU (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) (Abandoned per TTC report)

Patent Status Report by Client

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-735/701	PCT	Abandoned		2,408,923		18-May-2001			
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Country: Canada

Title: BRONCHIOPULMONARY OCCLUSION DEVICES AND LUNG VOLUME REDUCTION METHODS

Remarks: Townsend Ref. No.: 017534-005200CA (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
(Abandoned per TTC report)

20920-735/611	PCT	Abandoned		01934679.0		18-May-2001			
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Country: European Patent Convention

Title: BRONCHIOPULMONARY OCCLUSION DEVICES AND LUNG VOLUME REDUCTION METHODS

Remarks: Townsend Ref. No.: 017534-005200EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
(Abandoned per TTC report)

20920-735/891	REP	Abandoned		03102072.4		18-May-2001			
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Country: Hong Kong

Title: BRONCHIOPULMONARY OCCLUSION DEVICES AND LUNG VOLUME REDUCTION METHODS

Remarks: Townsend Ref. No.: 017534-005200HK (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
(Abandoned per TTC report)

20920-735/761	PCT	Abandoned		2001-583641	3793090	18-May-2001	14-Apr-2006		
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Country: Japan

Title: BRONCHIOPULMONARY OCCLUSION DEVICES AND LUNG VOLUME REDUCTION METHODS

Remarks: Townsend Ref. No.: 017534-005200JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
(Abandoned per TTC report)

20920-735/791	ORD	Expired		504621		18-May-2000			
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Country: New Zealand

Title: BRONCHIOPULMONARY OCCLUSION DEVICES AND LUNG VOLUME REDUCTION METHODS

Remarks: Townsend Ref. No.: OP017534-005200NZ (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-735/601	ORD	Expired		NZ2001/000092		18-May-2001			
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Country: Patent Cooperation Treaty

Title: BRONCHIOPULMONARY OCCLUSION DEVICES AND LUNG VOLUME REDUCTION METHODS

Remarks: Townsend Ref. No.: OP017534-005200PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-735/831	PCT	Abandoned		10/275,995		07-Apr-2003			
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Country: United States of America

Title: BRONCHIOPULMONARY OCCLUSION DEVICES AND LUNG VOLUME REDUCTION METHODS

Remarks: Townsend Ref. No.: 017534-005200US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
Claims from PCT/NZ2001/000092

11/05/09 Abandoned.

20920-736/701	PCT	Abandoned		2,487,405		25-Jul-2003			
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Country: Canada

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005301CA (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

06/03/09 Instr. to abandon sent to FA. FA ack 06/09/09.
04/30/09 Notice of Abandonment recvd.

20920-736/611	PCT	Granted		03771833.5		25-Jul-2003			
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Country: European Patent Convention

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005301EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11. CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

Validated in DE, FR, GB, IE, & IT.

20920-736/612	PCT	Granted		03790108.9		25-Nov-2003			
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Country: European Patent Convention

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005310EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11. CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

Validated in DE, FR, GB, & IE

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-736/631	EPC	Granted		03771833.5	1524942	25-Jul-2003	10-Sep-2008		
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Country: France

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005301FR (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); PER FA 9/28/11, ASSIGNMENT TO PULMONX WAS RECORDED AT FRENCH PATENT OFFICE ON 8/9 WITH REGISTRATION NO. 185086 -

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-736/632	EPC	Granted		03790108.9	1567086	25-Nov-2003	07-Oct-2009		
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Country: France

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005310FR (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-736/621	EPC	Granted		03771833.5	60323502.6	25-Jul-2003	10-Sep-2008		
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Country: Germany

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005301DE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; 10/18/11 Per FA email, Assignment to Pulmonx recorded in Germany;

20920-736/622	EPC	Granted		03790108.9	60329625.4	25-Nov-2003	07-Oct-2009		
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Country: Germany

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005310DE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-736/662	EPC	Granted		03771833.5	1524942	25-Jul-2003	10-Sep-2008		
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Country: Ireland

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005301IE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-736/662A	EPC	Granted		03790108.9	1567086	25-Nov-2003		
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Country: Ireland

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005310IE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-736/663	EPC	Granted		03771833.5	1524942	25-Jul-2003		
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Country: Italy

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005301IT (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-736/601	ORD	30 MO DONE		US2003/023295		25-Jul-2003		
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Country: Patent Cooperation Treaty

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005301PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) Filed in CA & EP (DE, FR, GB, IE, IT)

20920-736/602	ORD	30 MO DONE		US2003/037890		25-Nov-2003		
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Country: Patent Cooperation Treaty

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005310PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) Filed in EP (DE, FR, GB, & IE)

20920-736/641	EPC	Granted		03771833.5	1524942	25-Jul-2003		
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Country: United Kingdom

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005301GB (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-736/642	EPC	Granted		03790108.9		25-Nov-2003		
				1567086		07-Oct-2009		

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005310GB (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-736/101	PRO	Expired		60/429,902		27-Nov-2002		
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Country: United States of America

Title: IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005300US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-736/201	ORD	ISSUED		10/723,273	7,717,115	25-Nov-2003	Tax 7.5	18-Nov-2017
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Country: United States of America

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005310US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

3rd Maint. Fee Extension 18-May-2022

NOTICE OF ACCEPTANCE OF POA REC'D 1/3/2012

20920-736/301	CON	ISSUED		12/857,356	8,251,067	16-Aug-2010	Tax 7.5	28-Feb-2020
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005302US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

2nd Maint. Fee Extension 28-Aug-2020

Tax 11.5 28-Feb-2024

3rd Maint. Fee Extension 28-Aug-2024

5/29/15 Notices of Recordation issued.

10/26/12 ACKNOWLEDGEMENT OF LETTERS PATENT RCVD;
 8/30/12 LETTERS PATENT REC'D
 8/15/12 ISSUE NOTIFICATION RCVD;
 CON of 10/627,941 (#736,501)
 IDS FILED 12/08/11
 NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11
 IDS FILED 11/18/10;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-736/302	CON	Abandoned		12/885,250		17-Sep-2010			

Country: United States of America

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005312US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - CON of 11/174,040 (#736,502)

11/28/12 NOTICE OF ABANDONMENT ISSUED;
11/19/12 PER JHES, CLIENT INSTRUCTED TO NOT RESP TO OA & ALLOW CASE TO LAPSE
PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

IDS FILED 01/03/11;
IDS FILED 12/08/11;
NOTICE RE ACCEPTANCE OF POA REC'D 11/14/11

20920-736/501	CIP	ISSUED		10/627,941	7,798,147	25-Jul-2003	21-Sep-2010	Tax 7.5 2nd Maint. Fee Extension Tax 11.5 3rd Maint. Fee Extension	21-Mar-2018 21-Sep-2018 21-Mar-2022 21-Sep-2022
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES WITH MEMBRANE SEAL

Remarks: Townsend Ref. No.: 017534-005310US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; NOTICE RE CHANGE OF POA REC'D 01/04/12;
NOTICE OF ACCEPTANCE OF POA REC'D 01/04/12

20920-736/502	CIP	ISSUED		11/174,040	7,814,912	29-Jun-2005	19-Oct-2010	Tax 7.5 2nd Maint. Fee Extension Tax 11.5 3rd Maint. Fee Extension	19-Apr-2018 19-Oct-2018 19-Apr-2022 19-Oct-2022
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Country: United States of America

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-005311US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
CIP of 10/723,273 (#736,201);
NOTICE OF ACCEPTANCE OF POA REC'D 01/04/12

TRADEMARK

Patent Status Report by Client

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-737/611	PCT	Abandoned		03716417.5		06-Mar-2003		
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Country: European Patent Convention

Title: METHODS AND DEVICES FOR INDUCING COLLAPSE IN LUNG REGIONS FED BY COLLATERAL PATHWAYS

Remarks: Townsend Ref. No.: 017534-005410EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) (Abandoned per TTC report.)

20920-737/601	ORD	30 MO DONE		US2003/007230		06-Mar-2003		
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Country: Patent Cooperation Treaty

Title: METHODS AND DEVICES FOR INDUCING COLLAPSE IN LUNG REGIONS FED BY COLLATERAL PATHWAYS

Remarks: Townsend Ref. No.: 017534-005410PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) Filed in EP.

20920-737/101	PRO	Expired		60/363,328		08-Mar-2002		
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Country: United States of America

Title: METHODS AND DEVICES FOR INDUCING COLLAPSE IN LUNG REGIONS FED BY COLLATERAL PATHWAYS

Remarks: Townsend Ref. No.: 017534-005400US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-737/201	ORD	ISSUED		10/384,899	7,412,977	06-Mar-2003		19-Feb-2020
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Country: United States of America

Title: METHODS AND DEVICES FOR INDUCING COLLAPSE IN LUNG REGIONS FED BY COLLATERAL PATHWAYS

Remarks: Townsend Ref. No.: 017534-005410US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-737/301	CON	Abandoned		11/509,871		25-Aug-2006		
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Country: United States of America

Title: METHODS AND DEVICES FOR INDUCING COLLAPSE IN LUNG REGIONS FED BY COLLATERAL PATHWAYS

Remarks: Townsend Ref. No.: 017534-005420US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; CON of 10/384,899 (#737.201)

IDS FILED 01/16/07, 06/28/07, 04/10/08, 11/17/08, Per J Roeder 12/01/11, client instructed to abandon application for non-response to OA; NOTICE RE CHANGE OF POA REC'D 01/05/12; NOTICE OF ACCEPTANCE OF POA REC'D 01/05/12; NOTICE OF ABANDONMENT RCV'D 2/16/12.

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-737/302	CON	Abandoned		11/696,627		04-Apr-2007		
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Country: United States of America

Title: METHODS AND DEVICES FOR INDUCING COLLAPSE IN LUNG REGIONS FED BY COLLATERAL PATHWAYS

Remarks: Townsend Ref. No.: 017534-005430US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
CON of 10/384,899 (#737.201)

04/09/09 Abandoned.

20920-737/303	CON	Abandoned		12/133,326		04-Jun-2008		
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Country: United States of America

Title: METHODS AND DEVICES FOR INDUCING COLLAPSE IN LUNG REGIONS FED BY COLLATERAL PATHWAYS

Remarks: Townsend Ref. No.: 017534-005431US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
CON of 11/696,627 (#737.302)

10/28/09 Abandoned.

20920-738/101	PRO	Expired		60/539,671		27-Jan-2004		
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Country: United States of America

Title: DISEASE INDICATIONS FOR SELECTIVE ENDOBRONCHIAL LUNG REGION ISOLATION

Remarks: Townsend Ref. No.: 017534-005500US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-738/301	CON	Abandoned		12/490,625		24-Jun-2009		
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Country: United States of America

Title: DISEASE INDICATIONS FOR SELECTIVE ENDOBRONCHIAL LUNG REGION ISOLATION

Remarks: 7/24/14 Notice of Abandonment issued
6/6/14 Per J Roeber, client instructed to not respond to OA & allow case to lapse

Townsend Ref. No.: 017534-005520US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
12/20/12 PER JALT/HES, NO NEED TO CHECK PTA FOR PULMONX.

IDS FILED 10/29/09;
NOTICE OF ACCEPTANCE OF POA REC'D 11/22/11;
IDS FILED 3/14/12;
RCE & AMENDMENT FILED 3/26/12

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number Pat Number	App Date Iss Date	Next Action(s)	Due Date(s)
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20920-739/611	EPC	Abandoned		01201457.7	03-Mar-1998		
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Country: European Patent Convention

Title: OCCLUSION DEVICE

Remarks: Townsend Ref. No.: 017534-005600EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-739/891	REP	Abandoned		02103976.0	03-Mar-1998		
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Country: Hong Kong

Title: OCCLUSION DEVICE

Remarks: Townsend Ref. No.: 017534-005600HK (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-739/601	PCT	30 MO DONE		GB1998/000652	03-Mar-1998		
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Country: Patent Cooperation Treaty

Title: OCCLUSION DEVICE

Remarks: Townsend Ref. No.: OP017534-005600PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-739/641	ORD	Granted		9708681.3	30-Apr-1997		
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Country: United Kingdom

Title: LUNG TREATMENT DEVICE

Remarks: Townsend Ref. No.: 017534-005600GB (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-739/301	CON	Abandoned		11/515.181	01-Sep-2006		
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Country: United States of America

Title: OCCLUSION DEVICE

Remarks: Townsend Ref. No.: 017534-005610US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-739/302	CON	ISSUED		12/687,805	8,136,520	14-Jan-2010	Tax 7.5	20-Sep-2019
						20-Mar-2012	2nd Maint. Fee Extension	20-Mar-2020
							Tax 11.5	20-Sep-2023
							3rd Maint. Fee Extension	20-Mar-2024

Remarks: Townsend Ref. No.: 017534-005620US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

5/28/15 Notices of Recordation issued.
 11/14/11 NOTICE RE ACCEPTANCE OF POA REC'D
 2/29/12 ISSUE NOTIFICATION ISSUED
 3/23/12 LETTERS PATENT RCVD
 05/13/10 IDS FILED

20920-739/831	PCT	ISSUED		09/762,692	7,670,373	31-Oct-2005	Tax 7.5	02-Sep-2017
						02-Mar-2010	2nd Maint. Fee Extension	02-Mar-2018
							Tax 11.5	02-Sep-2021
							3rd Maint. Fee Extension	02-Mar-2022

Remarks: Townsend Ref. No.: 017534-005600US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;;
 NOTICE OF ACCEPTANCE OF POA REC'D 1/3/2012

20920-740/611	PCT	Granted		12834340.7	2758010	24-Sep-2012	VALIDATION DUE	08-May-2017
						08-Feb-2017		

Country: European Patent Convention
Title: IMPLANT LOADING DEVICE AND SYSTEM
Remarks: 1/27/17 JHES informed FA that client would like to validate in DE, FR AND GB, no DIV. FA ack'd 1/30/17 - (chui)
 PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-740/631	EPP	Granted		12834340.7	2758010	24-Sep-2012		
						08-Feb-2017		

Country: France
Title: IMPLANT LOADING DEVICE AND SYSTEM
Remarks: 1/27/17 JHES informed FA that client would like to validate in DE, FR AND GB, no DIV. FA ack'd 1/30/17 - (chui)
 PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-740/621	EPP	Granted		12834340.7	2758010	24-Sep-2012	08-Feb-2017		
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Country: Germany

Title: IMPLANT LOADING DEVICE AND SYSTEM

Remarks: 1/27/17 JHES informed FA that client would like to validate in DE, FR AND GB, no DIV. FA ack'd 1/30/17 - (chui)

PER VA4 12/30/11. CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-740/601	ORD	Published		PCT/US2012/056968		24-Sep-2012			
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Country: Patent Cooperation Treaty

Title: IMPLANT LOADING DEVICE AND SYSTEM

Remarks: PER VA4 12/30/11. CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

4/3/14 IPRP issued

1/31/14 Assigned EP application no. 12834340.7

01/23/14 Second Notice re Communication of Int'l Appln issued/recvd

4/25/13 1ST NOTICE REGARDING INTL APPLICATION REC'D

10/10/12 NOTICE OF RECEIPT OF SEARCH COPY ISSUED/RCV'D;

10/9/12 NOTIFICATION CONCERNING PRIORITY DOC ISSUED/RCV'D;

10/8/12 NOTIFICATION OF RECORD COPY ISSUED/RCV'D;

10/8/12 NOTIFICATION CONCERNING PAYMENT OF PRESCRIBED FEES ISSUED 10/2/12 RECVD

10/8/12 NOTIFICATION OF INTL APPLN NO. & FILING DATE ISSUED 10/2/12 RECVD

20920-740/641	EPP	Granted		12834340.7	2758010	24-Sep-2012	08-Feb-2017		
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Country: United Kingdom

Title: IMPLANT LOADING DEVICE AND SYSTEM

Remarks: 1/27/17 JHES informed FA that client would like to validate in DE, FR AND GB, no DIV. FA ack'd 1/30/17 - (chui)

PER VA4 12/30/11. CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-740/101	PRO	Expired		60/630,399		19-Nov-2004			
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-005700US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-740/102	PRO	Expired		61/538,723		23-Sep-2011		

Country: United States of America

Title: IMPLANT LOADING DEVICE AND SYSTEM

Remarks: Townsend Ref. No.: 017534-005700US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
FILING RECEIPT RECD 10/07/11

20920-740/201	ORD	ISSUED		11/282,940		18-Nov-2005	Tax 7.5	10-Feb-2018
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-005710US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; NOTICE OF ACCEPTANCE OF POA RECD 01/04/12

20920-740/301	CON	ISSUED		12/820,393		22-Jun-2010	1st Maint. Fee Extension	05-Mar-2017
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-005720US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

6/2/15 Notice of Recordation issued.
3/19/13 ACKNOWLEDGEMENT OF LETTERS PATENT RCV'D;
3/7/13 LETTERS PATENT RCV'D;
2/13/13 ISSUE NOTIFICATION;
1/19/12 IDS FILED
NOTICE OF ACCEPTANCE OF POA RECD 11/09/11;
IDS FILED 09/29/10;

20920-740/302	CON	Published		14/938,216		11-Nov-2015	STATUS CHECK	21-Jun-2017
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Country: United States of America

Title: IMPLANT LOADING DEVICE AND SYSTEM

Remarks: 12/31/15 IDS filed.

Dec / Assignment / POA Year 2
Dec / Assignment / POA Year 3

11-Nov-2017
11-Nov-2018

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-740/501	CIP	ISSUED		13625.615	9,211,181	24-Sep-2012 15-Dec-2015	Letter to client re broadening BROADEN REISSUE? Tax 3.5 1st Maint. Fee Extension Tax 7.5 2nd Maint. Fee Extension Tax 11.5 3rd Maint. Fee Extension	15-Jun-2017 15-Dec-2017 15-Jun-2019 15-Dec-2019 15-Jun-2023 15-Dec-2023 15-Jun-2027 15-Dec-2027

Country: United States of America

Title: IMPLANT LOADING DEVICE AND SYSTEM

Remarks: CIP OF .301, CLAIMS FROM .102
 PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
 12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.
 12/21/15 Original Letters Patent rec'd.
 7/2/15 IDS filed.
 2/4/15 Notice of Recordation issued.
 6/14/13 IDS filed;
 2/25/13 IDS FILED;
 12/21/12 ACCEPTANCE OF POA ISSUED;
 12/21/12 UPDATED FILING RECEIPT ISSUED;
 11/19/12 IDS FILED;
 10/15/12 FILING PARTICULARS OBTAINED FROM PAIR;
 10/12/12 FILING RECEIPT ISSUED;

20920-741/682

Country: Australia
 Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-005820AU (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-741/702	PCT	Granted		2458.595	2,458,595	10-Oct-2002 04-Dec-2007		
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Country: Canada

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE
Remarks: Townsend Ref. No.: 017534-005820CA (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); PER V44 EMAIL TO FA DATED 09/26/11, ALL ANNUITIES WILL BE HANDLED BY OUR ANNUITY SERVICE -

PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-741/611	PCT	Abandoned		03734272.2		28-May-2003			

Country: European Patent Convention

Title: IMPLANTABLE BRONCHIAL ISOLATION DEVICES AND LUNG TREATMENT METHODS

Remarks: Townsend Ref. No.: 017534-005800EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-741/612	PCT	Granted		02784110.5	1434615	10-Oct-2002	11-Jul-2007		
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Country: European Patent Convention

Title: BRONCHIAL FLOW CONTROL DEVICES

Remarks: Townsend Ref. No.: 017534-005820EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

Validated in DE, FR, and GB.

20920-741/632	EPC	Granted		02784110.5	1434615	10-Oct-2002	11-Jul-2007		
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Country: France

Title: BRONCHIAL FLOW CONTROL DEVICES

Remarks: Townsend Ref. No.: 017534-005820FR (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); PER FA 9/28/11, ASSIGNMENT TO PULMONX WAS RECORDED AT FRENCH PATENT OFFICE ON 8/9

WITH REGISTRATION NO. 185086

- PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-741/622	EPC	Granted		02784110.5	60221139.5	10-Oct-2002	11-Jul-2007		
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Country: Germany

Title: BRONCHIAL FLOW CONTROL DEVICES

Remarks: Townsend Ref. No.: 017534-005820DE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

10/18/1 Per FA email, Assignment to Pulmonx recorded in Germany.

20920-741/762	PCT	Granted		2003-534005	4446739	10-Oct-2002	29-Jan-2010		
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Country: Japan

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-005820JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-741/601	ORD	30 MO DONE	US2003/016999	US2003/016999	28-May-2003				
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Country: Patent Cooperation Treaty

Title: IMPLANTABLE BRONCHIAL ISOLATION DEVICES AND LUNG TREATMENT METHODS

Remarks: Townsend Ref. No.: 017534-005800PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP.

20920-741/602	ORD	30 MO DONE	US2002/032853	US2002/032853	10-Oct-2002				
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Country: Patent Cooperation Treaty

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-005820PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in AU, CA, EP (DE, FR, GB), JP

20920-741/642	EPC	Granted	02784110.5	02784110.5	10-Oct-2002				
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Country: United Kingdom

Title: BRONCHIAL FLOW CONTROL DEVICES

Remarks: Townsend Ref. No.: 017534-005820GB (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-741/101	PRO	Expired	60/384,247	60/384,247	28-May-2002				
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Country: United States of America

Title: IMPLANTABLE BRONCHIAL ISOLATION DEVICES AND LUNG TREATMENT METHODS

Remarks: Townsend Ref. No.: 017534-005800US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-741/102	PRO	Expired	60/329,249	60/329,249	11-Oct-2001				
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Country: United States of America

Title: DEVICES AND METHODS FOR MINIMALLY INVASIVE LUNG VOLUME REDUCTION SURGERY

Remarks: Townsend Ref. No.: 017534-005820US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-741/201	ORD	ISSUED	10/270,792	10/270,792	10-Oct-2002	Tax 11.5			13-Mar-2017
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-005810US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

NOTICE OF ACCEPTANCE OF POA REC'D 1/3/2012

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-741/301 CON Abandoned 11/071,850 02-Mar-2005

Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-005814US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

01/28/10 Abandoned.

20920-741/302 CON ISSUED 11/092,123 28-Mar-2005 Tax 7.5

Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-005815US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;:

NOTICE OF ACCEPTANCE OF POA REC'D 1/3/2012

20920-741/303 CON Abandoned 12/940,787 05-Nov-2010

Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: 7/29/13 Notice of abandonment issued:
7/10/13 Per client, we will not responding to office action and will let this case lapse. JHES ack'd.

Townsend Ref. No.: 017534-005816US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;:
12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.

IDS FILED 12/08/11;
NOTICE RE ACCEPTANCE OF POA REC'D 11/14/11;
IDS FILED 03/01/11;

20920-741/501 CIP Abandoned 10/448,154 28-May-2003

Country: United States of America

Title: GUIDEWIRE DELIVERY OF IMPLANTABLE BRONCHIAL ISOLATION DEVICES IN ACCORDANCE WITH LUNG TREATMENT

Remarks: Townsend Ref. No.: 017534-005811US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

01/23/06 Abandoned.

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-741/502	CIP	Abandoned		10/448,153		28-May-2003		
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Country: United States of America

Title: DEVICES AND METHODS FOR REMOVING BRONCHIAL ISOLATION DEVICES IMPLANTED IN THE LUNG

Remarks: Townsend Ref. No.: 017534-005812US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

09/21/10 Abandoned.

20920-741/503	CIP	Abandoned		10/448,153		28-May-2003		
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Country: United States of America

Title: MODIFICATION OF LUNG REGION FLOW DYNAMICS USING FLOW CONTROL DEVICES IMPLANTED IN BRONCHIAL WALL CHANNELS

Remarks: Townsend Ref. No.: 017534-005813US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

02/04/10 Abandoned.

20920-742/611	PCT	Published		05725199.3		08-Mar-2005		
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Country: European Patent Convention

Title: IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS

Remarks: Townsend Ref. No.: 017534-005910EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

Registered in HK.

20920-742/612	DIV	Published		11171223.8		08-Mar-2005		
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Country: European Patent Convention

Title: IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS

Remarks: Townsend Ref. No.: DIV of 017534-005910EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); EXTENDED SEARCH REPORT DD 8/10/11 REC'D 9/1/11 - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-742/891	REP	Published		07101609.4		08-Mar-2005		
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Country: Hong Kong

Title: IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS

Remarks: Townsend Ref. No.: 017534-005910HK (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-742/601	ORD	30 MO DONE	US2005/007881	08-Mar-2005				
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Country: Patent Cooperation Treaty

Title: IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS

Remarks: Townsend Ref. No.: 017534-005910PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Filed in EP (& HK).

20920-742/101	PRO	Expired	60/551,476	08-Mar-2004				
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Country: United States of America

Title: IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS

Remarks: Townsend Ref. No.: 017534-005900US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-742/201	ORD	Abandoned	11/075,633	08-Mar-2005				
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Country: United States of America

Title: IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS

Remarks: Townsend Ref. No.: 017534-005910US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

01/03/11 Abandoned.

20920-742/501	CIP	ISSUED	12/885,199	17-Sep-2010	1st Maint. Fee Extension	02-Jul-2017		
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Country: United States of America

Title: IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS

Remarks: Townsend Ref. No.: 017534-005920US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

8/6/13 acknowledgement of letters patent rev'd;

7/8/13 Letters Patent rev'd

3/28/13 CORRECTED NOTICE OF ALLOWABILITY ISSUED;

12/20/12 PER JAL/T/HES, NO NEED TO CHECK PTA FOR PULMONX.

4/8/13 CORRECTED FILING RECEIPT REC'D

2/27/13 IDS FILED

1/24/13 RCE & AMENDMENT FILED;

CIP of 11/075,633 (#742.201)

CIP of 12/264,849 (#745.311)

IDS FILED ON 10/07/11; NOTICE RE ACCEPTANCE OF POA REC'D 11/14/11

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 59

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-743/101	PRO	Expired		60/548,791		27-Feb-2004			

Country: United States of America

Title: METHODS AND DEVICES FOR BLOCKING FLOW THROUGH COLLATERAL PATHWAYS IN THE LUNG
Remarks: Townsend Ref. No.: 017534-006000US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-743/201	ORD	ISSUED		11/067,025	8,206,684	25-Feb-2005	26-Jun-2012	Tax 7.5 2nd Maint. Fee Extension	26-Dec-2019 26-Jun-2020
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Country: United States of America

Title: METHODS AND DEVICES FOR BLOCKING FLOW THROUGH COLLATERAL PATHWAYS IN THE LUNG
Remarks: Townsend Ref. No.: 017534-006010US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

10/26/12 ACKNOWLEDGEMENT OF LETTERS PATENT RCVD;
6/29/12 LETTERS PATENT RCVD;
ISSUE NOTIFICATION 6/6/12;
NOTICE OF ACCEPTANCE OF POA REC'D 11/10/11;
RCE FILED 10/02/09, 09/16/10,
IDS FILED 05/10/05, 02/06/07,

20920-744/101	PRO	Expired		60/527,478		04-Dec-2003			
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Country: United States of America

Title: MULTIPLE SEAL PORT ANESTHESIA ADAPTER
Remarks: Townsend Ref. No.: 017534-006100US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-744/201	ORD	ISSUED		11/004,560	7,036,509	03-Dec-2004	02-May-2006	Tax 11.5 3rd Maint. Fee Extension	02-Nov-2017 02-May-2018
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Country: United States of America

Title: MULTIPLE SEAL PORT ANESTHESIA ADAPTER
Remarks: Townsend Ref. No.: 017534-006110US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

NOTICE OF ACCEPTANCE OF POA REC'D 1/3/2012

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-745/681	PCT	Granted		2001243416	2001243416	02-Mar-2001		
Country: Australia				2001243416		28-Aug-2006		
Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES Remarks: Townsend Ref. No.: 017534-006200AU (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;								
20920-745/701	PCT	Granted		2,401,331	2,401,331	02-Mar-2001		
Country: Canada				2,401,331		27-Jul-2010		
Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES Remarks: Townsend Ref. No.: 017534-006200CA (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;								
20920-745/611	PCT	Granted		019163864	1359978	02-Mar-2001		
Country: European Patent Convention				019163864	1359978	20-Apr-2011		
Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES Remarks: Townsend Ref. No.: 017534-006200EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;								
Validated in CH, DE, FR & GB.								
20920-745/631	EPC	Granted		019163864	1359978	02-Mar-2001		
Country: France				019163864	1359978	20-Apr-2011		
Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES Remarks: Validated off Townsend Ref. No.: 017534-006200FR (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); Filing Receipt recvd from FA 09/14/11;								
PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;								
20920-745/621	EPC	Granted		019163864	1359978	02-Mar-2001		
Country: Germany				019163864	1359978	20-Apr-2011		
Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES Remarks: Validated off Townsend Ref. No.: 017534-006200DE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); Filing Receipt recvd from FA 09/14/11; - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;								

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 61

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-745/891	REP	TO BE ABAND		04102028.8		02-Mar-2001			
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Country: Hong Kong

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006200HK (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

INFORMED FA 9/13/11 CLIENT DOES NOT WISH TO COMPLETE THE REGISTRATION OF EP PATENT IN HONG KONG; FA ACK. 9/15/11 & 09/21/11.

20920-745/761	PCT	Granted		2001-564839	3881242	02-Mar-2001	17-Nov-2006		
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Country: Japan

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006200JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-745/762	DIV	Abandoned		2006-190712		02-Mar-2001			
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Country: Japan

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006201JP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-745/601	ORD	30 MO DONE		US2001/006958		02-Mar-2001			
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Country: Patent Cooperation Treaty

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006200PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-745/653	EPC	Granted		01916386.4	1359978	02-Mar-2001	20-Apr-2011		
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Country: Switzerland

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Validated off Townsend Ref. No.: 017534-006200CH (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); Filing Receipt recvd from FA 09/14/11; - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-745/641	EPC	Granted		01916386.4	1359978	02-Mar-2001		
<p>Country: United Kingdom</p> <p>Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES</p> <p>Remarks: Validated off Townsend Ref. No.: 017534-006200FR (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); -- PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; Filing Receipt recvd from FA 09/14/11;</p>								
20920-745/201	ORD	ISSUED		09/519.735	6,679.264	04-Mar-2000		
<p>Country: United States of America</p> <p>Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES</p> <p>Remarks: Townsend Ref. No.: 017534-006200US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; ACCEPTANCE OF POA REC'D 1.10.12</p>								
20920-745/301	CON	Abandoned		10/303,241		22-Nov-2002		
<p>Country: United States of America</p> <p>Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES</p> <p>Remarks: Townsend Ref. No.: 017534-006221US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) CON of 09/797.910 (#745.501) 12/07/07 Abandoned.</p>								
20920-745/302	CON	ISSUED		10/303,240	6,901,927	22-Nov-2002	3rd Maint. Fee Extension	07-Jun-2017
<p>Country: United States of America</p> <p>Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES</p> <p>Remarks: Townsend Ref. No.: 017534-006222US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; CON of 09/797.910 (#745.501); NOTICE OF ACCEPTANCE OF POA REC'D 01/04/12</p>								
20920-745/303	CON	ISSUED		10/303,318	6,904,909	22-Nov-2002	3rd Maint. Fee Extension	14-Jun-2017
<p>Country: United States of America</p> <p>Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES</p> <p>Remarks: Townsend Ref. No.: 017534-006223US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; CON of 09/797.910 (#745.501) NOTICE OF ACCEPTANCE OF POA REC'D 1/3/2012</p>								

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-745/304	CON	ISSUED		10/419,508	6,840,243	18-Apr-2003		
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Country: United States of America

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006230US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
 CON of 09/519,735 (#745.201); NOTICE OF ACCEPTANCE OF POA REC'D 01/12/12

20920-745/305	CON	Abandoned		10/419,654		18-Apr-2003		
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Country: United States of America

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006240US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 CON of 09/519,735 (#745.201)

12/12/05 Abandoned.

20920-745/306	CON	ISSUED		10/630,473	7,165,548	29-Jul-2003	Tax 11.5	23-Jul-2018
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Country: United States of America

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006210US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
 CON of 09/519,735 (#745.201); NOTICE OF ACCEPTANCE OF POA REC'D 01/05/12

20920-745/307	CON	Abandoned		10/687,081		15-Oct-2003		
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Country: United States of America

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006224US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 CON of 10/303,318 (#745.303)

01/18/07 Abandoned.

20920-745/308	CON	Abandoned		10/703,919		06-Nov-2003		
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Country: United States of America

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006225US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
 CON of 10/303,240 (#745.302)

11/13/06 Abandoned.

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-745/309	CON	Abandoned		10/704,023		06-Nov-2003		

Country: United States of America

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006226US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
CON of 09/797,910 (#745,501)

20920-745/310	CON	ISSUED		11/395,396		30-Mar-2006	Tax 7.5	16-Aug-2017
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Country: United States of America

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006211US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
CON of 10/630,473 (#745,306); NOTICE OF ACCEPTANCE OF POA REC'D 01/13/12

20920-745/311	CON	ISSUED		12/264,849		04-Nov-2008	Tax 7.5	22-Jul-2020
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Country: United States of America

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006212US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
CON of 11/395,396 (#745,310)

3/19/13 ACKNOWLEDGEMENT OF LETTERS PATENT RCVD;

1/28/13 LETTERS PATENT RCVD;

NOTICE OF ACCEPTANCE OF POA REC'D 11/09/11; AMENDMENT AND RCE FILED 12/14/11;

20920-745/312	CON	Abandoned		12/646,648		23-Dec-2009		
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Country: United States of America

Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES

Remarks: Townsend Ref. No.: 017534-006213US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
CON of 11/395,396 (#745,310)

10/07/10 Abandoned (pre-examination).

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-745/501	CIP	ISSUED		09/797.910	6,694,979	02-Mar-2001		
Country: United States of America								
Title: METHODS AND DEVICES FOR USE IN PERFORMING PULMONARY PROCEDURES								
Remarks: Townsend Ref. No.: 017534-006220US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; CIP of 09/519,735 (#745.201); ACCEPTANCE OF POA REC'D 1.10.12								
20920-746/611	PCT	Granted		98944734.7	1023007	04-Sep-1998		
Country: European Patent Convention								
Title: BODY FLUID FLOW CONTROL DEVICE								
Remarks: Townsend Ref. No.: 017534-006300EP (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; Validated in DE, FR, GB, IE, & IT								
20920-746/631	EPC	Granted		98944734.7	1023007	04-Sep-1998		
Country: France								
Title: BODY FLUID FLOW CONTROL DEVICE								
Remarks: Townsend Ref. No.: 017534-006300FR (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;								
20920-746/621	EPC	Granted		98944734.7	69841615.5	04-Sep-1998		
Country: Germany								
Title: BODY FLUID FLOW CONTROL DEVICE								
Remarks: Townsend Ref. No.: 017534-006300DE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;								
20920-746/662	EPC	Granted		98944734.7	1023007	04-Sep-1998		
Country: Ireland								
Title: BODY FLUID FLOW CONTROL DEVICE								
Remarks: Townsend Ref. No.: 017534-006300IE (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;								

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-746/663	EPC	Granted		98944734.7		04-Sep-1998	14-Apr-2010		
Country: Italy Title: BODY FLUID FLOW CONTROL DEVICE Remarks: Townsend Ref. No.: 017534-006300IT (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;									

20920-746/601	ORD	30 MO DONE		US1998/018366		04-Sep-1998			
Country: Patent Cooperation Treaty Title: BODY FLUID FLOW CONTROL DEVICE Remarks: Townsend Ref. No.: OP017534-006300PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) Filed in EP (DE, FR, GB, IE, & IT)									

20920-746/641	EPC	Granted		98944734.7	1023007	04-Sep-1998	14-Apr-2010		
Country: United Kingdom Title: BODY FLUID FLOW CONTROL DEVICE Remarks: Townsend Ref. No.: 017534-006300GB (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;									

All Maintenance Fees have been paid.

20920-746/301	CON	ISSUED		09/397,218	6,632,243	19-Sep-1999	14-Oct-2003		
Country: United States of America Title: BODY FLUID FLOW CONTROL DEVICE Remarks: Townsend Ref. No.: 017534-006310US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; ACCEPTANCE OF POA REC'D 1.10.12									

TRADEMARK

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	App Date	Next Action(s)	Due Date(s)
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20920-746/302	CON	Abandoned		10/071,620	08-Feb-2002		
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Country: United States of America

Title: BODY FLUID FLOW CONTROL DEVICE

Remarks: Townsend Ref. No.: 017534-006312US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
CON of 09/397,218 (#746,301)

20920-746/303	CON	Abandoned		10/081,569	21-Feb-2002		
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Country: United States of America

Title: BODY FLUID FLOW CONTROL DEVICE

Remarks: Townsend Ref. No.: 017534-006313US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
CON of 09/397,218 (#746,301)

06/05/08 Abandoned.

20920-746/304	CON	ISSUED		10/419,653	18-Apr-2003	Tax 11.5	25-Oct-2017
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Country: United States of America

Title: BODY FLUID FLOW CONTROL DEVICE

Remarks: Townsend Ref. No.: 017534-006311US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
CON of 09/397,218 (#746,301)

20920-746/305	CON	ISSUED		10/454,729	03-Jun-2003	Tax 11.5	02-Apr-2019
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Country: United States of America

Title: BODY FLUID FLOW CONTROL DEVICE

Remarks: Townsend Ref. No.: 017534-006314US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
CON of 09/397,218 (#746,301)

20920-747/101	PRO	Expired		60/399,273	26-Jul-2002		
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Country: United States of America

Title: IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-006400US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-747/301	CON	Abandoned		11/289,979		29-Nov-2005		
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-006411US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)
11/01/10 Abandoned.

20920-747/501	CIP	ISSUED		10/627,517	7,011,094	25-Jul-2003	Tax 11.5	14-Sep-2017
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES AND METHODS OF USE

Remarks: Townsend Ref. No.: 017534-006410US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
CIP of 10/270,792 (#741,201)

20920-748/601	ORD	Expired		US2007/005143		27-Feb-2007		
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Country: Patent Cooperation Treaty

Title: ENDOSCOPIC TOOL

Remarks: Townsend Ref. No.: 017534-006510PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-748/101	PRO	Expired		60/777,933		28-Feb-2006		
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Country: United States of America

Title: ENDOSCOPIC TOOL

Remarks: Townsend Ref. No.: 017534-006500US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-748/201	ORD	Abandoned		11/679,635		27-Feb-2007		
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Country: United States of America

Title: ENDOSCOPIC TOOL

Remarks: Townsend Ref. No.: 017534-006510US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.

4/24/14 Notice of Abandonment issued
11/18/13 Per JHES, allow to lapse per client e-mail instructions of 11/17/13
RCE FILED 03/02/11.
IDS FILED 03/10/08, 11/17/08

NOTICE OF ACCEPTANCE OF POA REC'D 11/07/11

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-749/101	PRO	Expired		60/833,899		27-Jul-2006		

Country: United States of America

Title: LUNG ISOLATION WHEN COLLATERAL PATHWAYS ARE PRESENT

Remarks: Townsend Ref. No.: 017534-006600US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-749/201	ORD	Pending		11/828,165		25-Jul-2007	APPEAL BRIEF/RCE (Ext 5 of 5)	22-Mar-2017
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Country: United States of America

Title: LUNG ISOLATION WHEN COLLATERAL PATHWAYS ARE PRESENT

Remarks: Townsend Ref. No.: 017534-006610US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; 12/20/12 PER JAL/TJHES, NO NEED TO CHECK PTA FOR PULMONX.

2/25/15 RCE filed.
9/24/12 RCE & AMENDMENT FILED;

20920-750/601	ORD	Expired		US2007/018689		24-Aug-2007		
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Country: Patent Cooperation Treaty

Title: BRONCHIAL ISOLATION DEVICES FOR PLACEMENT IN SHORT LUMENS

Remarks: Townsend Ref. No.: 017534-006710PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-750/101	PRO	Expired		60/840,128		25-Aug-2006		
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Country: United States of America

Title: BRONCHIAL ISOLATION DEVICES FOR PLACEMENT IN SHORT LUMENS

Remarks: Townsend Ref. No.: 017534-006700US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

TRADEMARK

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
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20920-750/201	ORD	Abandoned		11/844,700		24-Aug-2007		
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Country: United States of America

Title: BRONCHIAL ISOLATION DEVICES FOR PLACEMENT IN SHORT LUMENS

Remarks: 2/26/13 NOTICE OF ABANDONMENT ISSUED;

2/16/13 PER J ROEDER, DIV (.401) FILED AND CLIENT IS ALLOWING THIS MATTER (.201) TO GO ABANDONED

Townsend Ref. No.: 017534-006710US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.

IDS FILED 05/23/08;

NOTICE OF ACCEPTANCE OF POA REC'D 11/07/11;

IDS FILED 4/11/12;

20920-750/401	DIV	Published		13/767,793		14-Feb-2013		
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Country: United States of America

Title: BRONCHIAL ISOLATION DEVICES FOR PLACEMENT IN SHORT LUMENS

NON-FINAL O.A. (Ext 1 of 3)	18-Mar-2017
NON-FINAL O.A. (Ext 2 of 3)	18-Apr-2017
NON-FINAL O.A. (Ext 3 of 3)	18-May-2017
SUPP IDS W/ RESPONSE? (6 MO)	18-May-2017

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

5/28/15 Notices of recordation of assignment issued

11/18/13 Updated filing receipt issued.

6/11/13 IDS filed

3/13/13 FILING RECEIPT ISSUED;

20920-751/101	PRO	Expired		60/405,418		21-Aug-2002		
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Country: United States of America

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-006800US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-751/501	CIP	Abandoned		10/645,473		20-Aug-2003		
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Country: United States of America

Title: DELIVERY METHODS AND DEVICES FOR IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-006810US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

CIP of 10/270,792 (#741.201)

12/10/07 Abandoned.

TRADEMARK

REEL: 006060 FRAME: 0577

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-752/601	ORD	Expired		US2002/036863		14-Nov-2002			
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Country: Patent Cooperation Treaty

Title: ACTIVE PUMP BRONCHIAL IMPLANT DEVICES

Remarks: Townsend Ref. No.: 017534-006910PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-752/101	PRO	Expired		60/336,233		14-Nov-2001			
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Country: United States of America

Title: ACTIVE PUMP BRONCHIAL IMPLANT DEVICES

Remarks: Townsend Ref. No.: 017534-006900US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-752/201	ORD	Abandoned		10/298,387		14-Nov-2002			
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Country: United States of America

Title: ACTIVE PUMP BRONCHIAL IMPLANT DEVICES

Remarks: Townsend Ref. No.: 017534-006910US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

09/22/06 Abandoned.

20920-753/101	PRO	Expired		60/338,508		05-Nov-2001			
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Country: United States of America

Title: TWO-WAY BRONCHIAL FLOW CONTROL DEVICE

Remarks: Townsend Ref. No.: 017534-007000US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Claimed in 741 family.

20920-754/101	PRO	Expired		60/371,634		09-Apr-2002			
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICES, METHODS AND DEVICES FOR DELIVERY

Remarks: Townsend Ref. No.: 017534-007100US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Claimed in 741 family.

20920-755/101	PRO	Expired		60/351,084		22-Jan-2002			
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Country: United States of America

Title: BRONCHIAL FLOW CONTROL DEVICE AND DELIVERY SYSTEM

Remarks: Townsend Ref. No.: 017534-007200US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Claimed in 741 family.

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-756/101	PRO	Expired		60/350,106		19-Oct-2001			
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Country: United States of America

Title: SYSTEMS, DEVICES AND METHODS FOR MINIMALLY INVASIVE LUNG VOLUME REDUCTION SURGERY

Remarks: Townsend Ref. No.: 017534-007300US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

Claimed in 741 family.

20920-757/101	PRO	Expired		60/590,167		21-Jul-2004			
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Country: United States of America

Title: IMPLANTED BRONCHIAL ISOLATION DEVICE DELIVERY DEVICES AND METHODS

Remarks: Townsend Ref. No.: 017534-007400US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-757/201	ORD	Abandoned		11/186,293		20-Jul-2005			
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Country: United States of America

Title: IMPLANTED BRONCHIAL ISOLATION DEVICE DELIVERY DEVICES AND METHODS

Remarks: Townsend Ref. No.: 017534-007410US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

02/13/09 Abandoned.

20920-758/601	ORD	Expired		US2004/021953		08-Jul-2004			
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Country: Patent Cooperation Treaty

Title: TREATMENT PLANNING WITH IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-007510PC (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-758/101	PRO	Expired		60/485,987		09-Jul-2003			
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Country: United States of America

Title: TREATMENT PLANNING WITH IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-007500US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-758/201	ORD	Abandoned		10/887,337		08-Jul-2004			
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Country: United States of America

Title: TREATMENT PLANNING WITH IMPLANTABLE BRONCHIAL ISOLATION DEVICES

Remarks: Townsend Ref. No.: 017534-007510US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

03/11/09 Abandoned.

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-759/101	PRO	Expired		61/289,848		23-Dec-2009		

Country: United States of America

Title: LOCAL LUNG MEASUREMENT AND TREATMENT

Remarks: Townsend Ref. No.: 017534-007600US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-759/201	ORD	Abandoned		12/963,412		08-Dec-2010		
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Country: United States of America

Title: LOCAL LUNG MEASUREMENT AND TREATMENT

Remarks: Townsend Ref. No.: 017534-007610US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.

1/22/14 Notice of abandonment issued.
12/27/13 JHES ackd client instruction to allow case to lapse.
IDS FILED 4/11/12;

20920-760/101	PRO	Expired		61/293,578		08-Jan-2010		
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Country: United States of America

Title: MEASURING LUNG FUNCTION AND LUNG DISEASE PROGRESSION AT A LOBAR/SEGMENTAL LEVEL

Remarks: Townsend Ref. No.: 017534-007700US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-760/201	ORD	ISSUED		12/964,515	9,107,606	09-Dec-2010 18-Aug-2015	BROADEN REISSUE? Tax 3.5 1st Maint. Fee Extension Tax 7.5	18-Aug-2017 18-Feb-2019 18-Aug-2019 18-Feb-2023
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Country: United States of America

Title: MEASURING LUNG FUNCTION AND LUNG DISEASE PROGRESSION AT A LOBAR/SEGMENTAL LEVEL

Remarks: Townsend Ref. No.: 017534-007710US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.

2nd Maint. Fee Extension
Tax 11.5
3rd Maint. Fee Extension
18-Feb-2023
18-Feb-2027
18-Aug-2027

8/24/15 Original Letters Patent recvd
3/25/14 RCE filed.
IDS FILED 4/11/12;

Tuesday, February 28, 2017

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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	App Date	Next Action(s)	Due Date(s)
20920-760/301	CON	FINAL REI		14/801,848		17-Jul-2015		SUPP IDS W/ RESPONSE? (3 MO) FINAL OFFICE ACTION/RCE (3 MO)	09-May-2017 09-May-2017

Country: United States of America

Title: MEASURING LUNG FUNCTION AND LUNG DISEASE PROGRESSION AT A LOBAR/SEGMENTAL LEVEL

Remarks: 10/13/15 IDS filed

NOTICE OF APPEAL/RCE (3 MO)
 NOTICE OF APPEAL/RCE (Ext 1/3)
 FINAL O.A. / RCE (Ext 1 of 3)
 FINAL O.A. / RCE (Ext 2 of 3)
 NOTICE OF APPEAL/RCE (Ext 2/3)
 Dec / Assignment / POA Year 2
 SUPP IDS W/ RESPONSE? (6 MO)
 FINAL O.A. / RCE (Ext 3 of 3)
 NOTICE OF APPEAL/RCE (Ext 3/3)
 FINAL DATE HAS PASSED
 FINAL DATE HAS PASSED
 Dec / Assignment / POA Year 3

20920-761/101

PRO

Expired

61/360,809

01-Jul-2010

Country: United States of America

Title: DEVICES AND SYSTEMS FOR LUNG TREATMENT

Remarks: Townsend Ref. No.: 017534-007800US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-761/201

ORD

Allowed

13/174,565

30-Jun-2011

Country: United States of America

Title: DEVICES AND SYSTEMS FOR LUNG TREATMENT

Remarks: Townsend Ref. No.: 017534-007810US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; 12/20/12 PER JAL/TJHES, NO NEED TO CHECK PTA FOR PULMONX.

Patent Issue Date - File CON?
 Patent Issue Date - New Refs?
 Confirm Exp Date (PTA? TD?)
 Corr PTA?-Req for Recon of PTA
 Final Ext to Req for Recon PTA
 Letter to client re broadening
 BROADEN REISSUE?
 Tax 3.5
 1st Maint. Fee Extension
 Tax 7.5
 2nd Maint. Fee Extension
 Tax 11.5
 3rd Maint. Fee Extension

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-761/401	DIV	Pending		15/430,080		10-Feb-2017	Confirm Priority Claim in ADS Declaration / Assignment / POA Prelim. Amendment? Information Disclosure Stmt Amend Spec re priority claim? Declaration / Assignment / POA Declaration / Assignment / POA Declaration / Assignment / POA Declaration / Assignment / POA Dec / Assignment / POA Year 1 Application Status Check Dec / Assignment / POA Year 2 Dec / Assignment / POA Year 3	10-Mar-2017 10-Apr-2017 10-May-2017 10-May-2017 10-Jun-2017 10-Jun-2017 10-Aug-2017 10-Oct-2017 10-Dec-2017 10-Feb-2018 10-Aug-2018 10-Feb-2019 10-Feb-2020

Country: United States of America

Title: DEVICES AND SYSTEMS FOR LUNG TREATMENT

TRADEMARK

20920-762/101	PRO	Expired		61/360,811		01-Jul-2010		
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Country: United States of America

Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSTICS

Remarks: Townsend Ref. No.: 017534-007900US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-762/201	ORD	ISSUED		13/174,633	8,808,194	30-Jun-2011 19-Aug-2014	Tax 3.5 1st Maint. Fee Extension Tax 7.5 2nd Maint. Fee Extension Tax 11.5 3rd Maint. Fee Extension	19-Feb-2018 19-Aug-2018 19-Feb-2022 19-Aug-2022 19-Feb-2026 19-Aug-2026
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Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSTICS

Remarks: Townsend Ref. No.: 017534-007910US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011); PER VA4 12/30/11; CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES; 12/20/12 PER JALTI/HES, NO NEED TO CHECK PTA FOR PULMONX.

8/21/14 Original Letters Patent rec'd.
UPDATED FILING RECEIPT ISSUED 3/7/12;
ACCEPTANCE OF POA ISSUED 3/7/12;
IDS FILED 4/11/12;
NOTICE OF RECORDATION OF ASSIGNMENT REC'D 11/18/11;

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-762/401	DIV	Published		14/339,197		23-Jul-2014		Dec / Assignment / POA Year 3	23-Jul-2017

Country: United States of America

Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSTICS

Remarks: I/5/15 IDS filed.
PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
PER JALT/JHES 12/20/12, NO NEED TO CHECK PTA FOR PULMONX.

20920-763/101	PRO	Expired		61/360,814		01-Jul-2010			
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Country: United States of America

Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSIS AND TREATMENT

Remarks: Townsend Ref. No.: 017534-008000US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-763/201	ORD	Abandoned		13/174,649		30-Jun-2011			
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Country: United States of America

Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSIS AND TREATMENT

Remarks: Townsend Ref. No.: 017534-008010US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011) - PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
12/20/12 PER JALT/JHES, NO NEED TO CHECK PTA FOR PULMONX.

3/10/15 Notice of Abandonment issued.
2/12/15 Per JHES, case to be allowed to lapse.
2/14/14 RCE filed.

UPDATED FILING RECEIPT ISSUED 3/7/12;
ACCEPTANCE OF POA ISSUED 3/7/12;
IDS FILED 4/11/12;

20920-763/401	DIV	Abandoned		14/621,137		12-Feb-2015			
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Country: United States of America

Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSIS AND TREATMENT

Remarks: PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
1/18/17 Notice of Abandonment issued - h2h
12/29/16 Per client, will drop this case and not respond to action (SVBR).
6/21/16 RCE filed
3/12/15 IDS filed.

TRADEMARK

Tuesday, February 28, 2017

Patent Status Report by Client

Page: 77

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-764/101	PRO	Expired		61/360,816		01-Jul-2010		

Country: United States of America

Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: Townsend Ref. No.: 017534-008100US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011)

20920-764/201	ORD	ISSUED		13/174,665	9,364,168	30-Jun-2011	Letter to client re broadening BROADEN REISSUE?	14-Dec-2017
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Country: United States of America

Title: METHODS AND SYSTEMS FOR ENDOBRONCHIAL DIAGNOSIS

Remarks: Townsend Ref. No.: 017534-008110US (From Townsend to Knobbe Martens in May 2011 then to WSGR in September 2011);

2011);

PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

12/20/12 PER JAL/T/HES, NO NEED TO CHECK PTA FOR PULMONX.

NOTICE OF RECORDATION OF ASSIGNMENT REC'D 11/18/11;

UPDATED FILING RECEIPT ISSUED 3/8/12;

ACCEPTANCE OF POA ISSUED 3/8/12;

IDS FILED 4/11/12;

6/20/16 Original Letters Patent rec'd.

7/27/15 RCE filed

20920-764/401	DIV	Published		15/159,670		19-May-2016	Declaration / Assignment / POA	19-Mar-2017
							Dec / Assignment / POA Year 1	19-May-2017
							Application Status Check	19-Nov-2017
							Dec / Assignment / POA Year 2	19-May-2018
							Dec / Assignment / POA Year 3	19-May-2019

Remarks: 7/18/16 IDS filed.

20920-765/101	PRO	Expired		61/590,127		24-Jan-2012		
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Country: United States of America

Title: SYSTEM FOR SIMULATING LUNG FUNCTION

Remarks: FILING RECEIPT RCVD 2/6/12;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-765/201	ORD	Abandoned		13/748,346		23-Jan-2013			
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Country: United States of America

Title: SYSTEM FOR SIMULATING LUNG FUNCTION

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/25/16 Notice of Abandonment issued.
 12/17/15 JHES acked client instruction to let appln lapse.

10/24/13 Filing receipt issued;
 3/8/13 IDS FILED
 2/19/13 FILING RECEIPT ISSUED;

20920-766/101	PRO	Expired		61/615,029		23-Mar-2012			
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Country: United States of America

Title: SYSTEMS AND METHODS FOR DELIVERING A THERAPEUTIC AGENT

Remarks: FILING RECEIPT 4/11/12;

20920-766/201	ORD	Unfiled							
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Country: United States of America

Title: SYSTEMS AND METHODS FOR DELIVERING A THERAPEUTIC AGENT

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

20920-766/501	CIP	Appealed		13/830,642		14-Mar-2013		FILE PETITION TO REVIVE?	11-Mar-2017
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Country: United States of America

Title: SYSTEMS AND METHODS FOR DELIVERING A THERAPEUTIC AGENT

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

1/6/14 Updated filing receipt issued.
 7/16/13 IDS filed
 5/3/13 FILING RECEIPT REC'D

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-767/601	ORD	Published		PCT/US2013/042298		22-May-2013			

Country: Patent Cooperation Treaty

Title: DEVICES, METHODS, AND SYSTEMS FOR DELIVERING IMPLANTS TO A LUNG REGION

Remarks: PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

- 12/4/14 IPRP issued/revd.
- 10/17/14 Assigned EP application No. 13793647.2
- 9/25/14 2nd Notice Informing of Communication of Int'l Appln issued/revd.
- 12/27/13 1st notice informing of communication of int'l appln issued/revd.
- 6/18/13 Notification of Receipt of Search Copy mailed 6/11/13 Recvd
- 6/12/13 Notification Concerning Priority Doc issued/revd
- 6/11/13 Notification of receipt of record copy issued/revd;
- 6/5/13 NOTIFICATION CONCERNING PAYMENT OF PRESCRIBED FEES, & NOTIFICATION OF INTL APPLN NO. & FILING DATE ISSUED 6/3/13 RECVD

20920-767/101	PRO	Expired		61/650,357		22-May-2012			
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Country: United States of America

Title: BRONCHIAL DELIVERY SYSTEM

Remarks: FILING RECEIPT ISSUED 6/4/12;

20920-767/201	ORD	Abandoned		13/900,082		22-May-2013			
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Country: United States of America

Title: DEVICES, METHODS, AND SYSTEMS FOR DELIVERING IMPLANTS TO A LUNG REGION

Remarks: 1/5/15 Notice of Abandonment issued.
12/15/14 IHES confirmed w/client will allow case to lapse

- PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
- 12/3/13 IDS filed.
- 6/25/13 Filing receipt rec'd

20920-768/611	PCT	Published		13844071.4		02-Oct-2013			
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Country: European Patent Convention

Title: DEVICES AND METHODS FOR PULMONARY DIAGNOSIS

Remarks: PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-768/601	ORD	Published		PCT/US2013/063108		02-Oct-2013			

Country: Patent Cooperation Treaty

Title: DEVICES AND METHODS FOR PULMONARY DIAGNOSIS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

- 4/16/15 IPRP issued
- 2/13/15 Assigned EP application no. 13844071.4
- 2/5/15 Second Notice re Communication of Intl Appln issued
- 5/8/14 1st Notice Informing of Communication of Intl Appln issued/revd.
- 10/18/13 Notification concerning priority doc issued/revd.
- 10/18/13 Notification of receipt of search copy issued;
- 10/17/13 Notification of receipt of record copy rec'd
- 10/9/13 Notification of prescribed fees & internat'l app number issued

20920-768/101	PRO	Expired		61/709,044		02-Oct-2012			
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Country: United States of America

Title: DEVICES AND METHODS FOR PULMONARY DIAGNOSIS

Remarks: 10/24/12 FILING RECEIPT ISSUED

20920-769/101	PRO	Expired		61/774,322		07-Mar-2013			
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Country: United States of America

Title: SYSTEMS AND METHODS FOR FLUSHING AN ASSESSMENT CATHETER

Remarks: 4/8/13 FILING RECEIPT REC'D
PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-769/201	ORD	FINAL REI		14/195.532		03-Mar-2014	Dec / Assignment / POA Year 3 SUPP IDS W/ RESPONSE? (3 MO) FINAL OFFICE ACTION/RCE (3 MO)	03-Mar-2017 10-May-2017 10-May-2017

Country: United States of America

Title: SYSTEMS AND METHODS FOR FLUSHING AN ASSESSMENT CATHETER

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

- 10/9/14 IDS filed.
- 3/21/14 Filing receipt issued.
- 3/10/14 Per JHES, awaiting completion of billing to change to correct CIP .501 (opened as a .201, filed as a CIP)

NOTICE OF APPEAL/RCE (3 MO) 10-May-2017
 NOTICE OF APPEAL/RCE (Ext 1/3) 10-Jun-2017
 FINAL O.A. / RCE (Ext 1 of 3) 10-Jun-2017
 FINAL O.A. / RCE (Ext 2 of 3) 10-Jul-2017
 NOTICE OF APPEAL/RCE (Ext 2/3) 10-Jul-2017
 NOTICE OF APPEAL/RCE (Ext 3/3) 10-Aug-2017
 FINAL O.A. / RCE (Ext 3 of 3) 10-Aug-2017
 SUPP IDS W/ RESPONSE? (6 MO) 10-Aug-2017
 FINAL DATE HAS PASSED 24-Aug-2017
 FINAL DATE HAS PASSED 24-Aug-2017

20920-770/601	ORD	Published		PCT/US2014/023765		11-Mar-2014		
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Country: Patent Cooperation Treaty

Title: SYSTEMS AND METHODS FOR TREATMENT USING MAGNETIC FIELDS

Remarks: PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

- 9/24/15 IPRP IB326 issued
- 7/29/15 Assigned EP application number 14769066.3
- 7/16/15 2nd Notice regarding Int'l application issued/rec'd.
- 10/16/14 1st Notice regarding Int'l application issued/rec'd.
- 5/27/14 Notification of receipt of record copy issued 5/12/14 rec'd
- 5/18/14 Notification of receipt of search copy issued 5/12/14 rec'd
- 5/13/14 Notification Concerning Priority Doc issued/rec'd
- 5/1/14 Notification concerning payment of prescribed fees, and Notification of Int'l application number & Int'l filing date issued/ rec'd

20920-770/101	PRO	Expired		61/793.816		15-Mar-2013		
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Country: United States of America

Title: SYSTEMS AND METHODS FOR TREATMENT USING MAGNETIC FIELDS

Remarks: 4/10/13 OPENED PER J. ROEDER, CLIENT FILED & TRANSFERRED IN:
 PER VA4 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
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20920-771/601	ORD	Published		PCT/US2014/023773		11-Mar-2014			
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Country: Patent Cooperation Treaty

Title: RESPIRATORY SUPPORT SYSTEM

Remarks: 9/24/15 IPRP IB326 issued

7/29/15 Assigned EP application number 14771093.3
 7/16/15 2nd Notice Informing of Communication of Int'l Appln issued/rcvd.
 10/16/14 1st Notice regarding Int'l application issued/rcvd.
 5/15/14 Notification of receipt of search copy issued 5/8/14 rcvd
 5/13/14 Notification concerning priority doc (1) issued/rcvd
 5/12/14 Notification of receipt of record copy issued/rcvd
 4/30/14 Notification concerning payment of prescribed fees, and Notification of Int'l application number and Int'l filing date issued/rcvd

20920-771/101	PRO	Expired		61/798,620		15-Mar-2013			
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Country: United States of America

Title: RESPIRATORY SUPPORT SYSTEM

Remarks: PER V44 12/30/11, CLIENT IS RESPONSIBLE FOR PAYING OWN ANNUITIES;
4/10/13 OPENED PER J. ROEDER, CLIENT FILED & TRANSFERRED IN;

20920-772/101	PRO	Expired		62/004,377		29-May-2014			
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Country: United States of America

Title: MEDICAL DEVICES AND METHODS FOR LUNG VOLUME REDUCTION

20920-772/201	ORD	Published		14/724,400		28-May-2015		Dec / Assignment / POA Year 2	28-May-2017
								Dec / Assignment / POA Year 3	28-May-2018

Country: United States of America

Title: MEDICAL DEVICES AND METHODS FOR LUNG VOLUME REDUCTION

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-773/601	ORD	Published		PCT/US2016/014183		20-Jan-2016		26 Mo Reminder Letter 28 Mo Reminder Letter 29 Mo Reminder Letter 30 Mo Nat'l Phase/File in US? 31 Month Nat'l Phase	20-Mar-2017 20-May-2017 20-Jun-2017 20-Jul-2017 20-Aug-2017
Remarks: 8/25/16 First Notice re Communication of Intl Appln issued 2/9/16 Notification concerning priority doc (1) issued 2/8/16 Notification of Receipt of Record Copy IB301 issued. 2/3/16 Notification of Receipt of Search Copy, Notification Concerning Payment of Prescribed Fees and Notification of Intl Appln No. & Filing Date issued.									

TRADEMARK

20920-773/101	PRO	Expired		62/105,649		20-Jan-2015			
Country: United States of America									
Title: BRONCHIAL SEALANT DELIVERY METHODS AND SYSTEMS									
Remarks: 4/13/16 IDS filed.									

20920-773/201	ORD	Published		15/001,598		20-Jan-2016		Application Status Check Dec / Assignment / POA Year 2	20-Jul-2017 20-Jan-2018
Country: United States of America									
Title: BRONCHIAL SEALANT DELIVERY METHODS AND SYSTEMS									
Remarks: 4/13/16 IDS filed.									

20920-774/101	PRO	Pending		62/183,170		22-Jun-2015			
Country: United States of America									
Title: COLLATERAL FLOW CHANNEL SEALANT DELIVERY METHODS AND SYSTEMS									
Remarks: 7/18/16 IDS filed.									

20920-774/201	ORD	Published		15/182,453		14-Jun-2016		Client 9 Mo. decision Declaration / Assignment / POA 11 Month Prep Docs Dec / Assignment / POA Year 1 FF Due/PCT Assignment Application Status Check Dec / Assignment / POA Year 2 Dec / Assignment / POA Year 3	14-Mar-2017 14-Apr-2017 14-May-2017 14-Jun-2017 14-Jun-2017 14-Dec-2017 14-Jun-2018 14-Jun-2019
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Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	App Date	Iss Date	Next Action(s)	Due Date(s)
20920-775/601	ORD	Pending		PCT/US2017/016591		03-Feb-2017		Record New PCT Assignment PROJECTED PUBLICATION IN 3 MOS CONFIRM PRIORITY/SUBMIT DOC?	03-Apr-2017 05-May-2017 05-Jun-2017

Country: Patent Cooperation Treaty
Title: METHODS, SYSTEMS, AND DEVICES FOR ANALYZING LUNG IMAGING DATA

Remarks: 2/10/17 Notification of Receipt of Search Copy, Notification Concerning Payment of Prescribed Fees and Notification of Intl Appln No. & Filing Date issued - h2h

- 26 Mo Reminder Letter 05-Dec-2017
- 28 Mo Reminder Letter 05-Apr-2018
- 29 Mo Reminder Letter 05-Jun-2018
- 30 Mo Nat'l Phase/File in US? 05-Jul-2018
- 31 Month Nat'l Phase 05-Aug-2018

20920-775/101	PRO	Expired		62/291,889		05-Feb-2016			
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Country: United States of America
Title: METHODS, SYSTEMS, AND DEVICES FOR ANALYZING LUNG IMAGING DATA

TRADEMARK

Client: 20920 Pulmonx

Case Number/SubCase	Case Type	Status	ClientReference #	App Number	Pat Number	Iss Date	Next Action(s)	Due Date(s)
20920-775/201	ORD	Pending		15/424,458	03-Feb-2017		REQUEST CERTIFIED PRI DOC Confirm Priority Claim in ADS	03-Mar-2017

Country: United States of America
 Title: METHODS, SYSTEMS, AND DEVICES FOR ANALYZING LUNG IMAGING DATA

7 Month Letter								05-May-2017
Client 9 Mo. Decision								05-Jul-2017
11 Month Prep Docs								05-Sep-2017
FF Due/PCT Assignment								05-Oct-2017
Assignment Recorded?								05-Oct-2017
Utility Filing Due								05-Oct-2017
Dec / Assignment / POA Year 3								03-Feb-2020
Dec / Assignment / POA Year 2								03-Feb-2019
Application Status Check								03-Aug-2018
Dec / Assignment / POA Year 1								03-Feb-2018
RECISSION OF NONPUBLICATION?								03-Feb-2018
FF Due/PCT Assignment								03-Feb-2018
11 Month Prep Docs								03-Jan-2018
Declaration / Assignment / POA								03-Dec-2017
Client 9 Mo. decision								03-Nov-2017
Declaration / Assignment / POA								03-Oct-2017
CORRECTED PAPERS (Ext 5 of 5)								14-Sep-2017
7 Month Letter								03-Sep-2017
CORRECTED PAPERS (Ext 4 of 5)								14-Aug-2017
CORRECTED PAPERS (Ext 3 of 5)								14-Jul-2017
Declaration / Assignment / POA								03-Aug-2017
18 MO PUBLICATION								05-Aug-2017
CORRECTED PAPERS (Ext 2 of 5)								14-Jul-2017
FOREIGN PRIORITY DOC (4 MOS)								03-Jun-2017
Amend Spec re priority claim?								03-Jun-2017
FOREIGN PRIORITY DOC (16 MOS)								03-Jun-2017
CORRECTED PAPERS (Ext 1 of 5)								03-Jun-2017
Information Disclosure Stmt								14-May-2017
FILE CORRECTED PAPERS								14-Apr-2017
Declaration / Assignment / POA								03-Apr-2017
CONFIRM PRIORITY CLAIM IN ADS								03-Mar-2017
REQUEST CERTIFIED PRI DOC								03-Mar-2017

TRADEMARK

20920-776/101	PRO	Pending		62/404,688		05-Oct-2016		
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Country: United States of America
 Title: HIGH RESISTANCE IMPLANTED BRONCHIAL ISOLATION DEVICES AND METHODS

Report Selection

- by Client
- by Case Number

Remarks

Print

Do Not Print

Inventors

Print

Do Not Print

Abstract

Print

Do Not Print

Actions Due

Next

All

Preview before printing

Date Range Filing Issue Expiration Last Update

From: To:

Case Number:

Client: Pulmonox

Agent:

Country:

Area: Attorney:

Inventor:

Owner:

Status(es):

Case Type(s):

Status Codes:

- Active
- Inactive
- All

EXHIBIT C

Trademarks

<u>Description</u>	<u>Registration/ Application Number</u>	<u>Registration/ Application Date</u>
STRATX	87/113,635	07/22/16
PULMONX	4,758,397	06/23/15
AERISEAL	3,942,227	04/05/11
PULMONX	3,266,660	07/17/07
ZEPHYR	3,121,633	07/25/06
EBV	3,112,518	07/04/06
CHARTIS	3,747,362	02/09/10
PULMONX	3,706,187	11/03/09

EXHIBIT D

Mask Works

Description

Registration/
Application
Number

Registration/
Application
Date

None.