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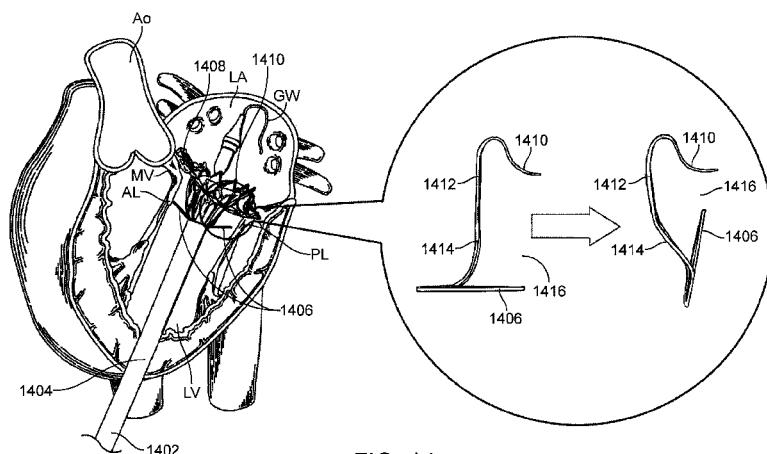


FIG. 14

(57) Abstract: A prosthetic valve comprises a self-expanding frame which includes a self-expanding atrial skirt that forms a flanged region, a self-expanding ventricular skirt, and a first self-expanding tab coupled with the ventricular skirt. A receptacle for receiving a valve leaflet is formed by the area bounded by an outer surface of the atrial skirt, an outer surface of the ventricular skirt, and an inner surface of the first tab. The receptacle has a window for receiving the valve leaflet that is defined by a gap between an edge of the flange and a tip of the first tab. The gap is maximized when the tip of the first tab is unconstrained and a base of the first tab is at least partially constrained. The gap is minimized when the tip of the first tab and its base are unconstrained.

## METHODS AND APPARATUS FOR ENGAGING A VALVE PROSTHESIS WITH TISSUE

### CROSS-REFERENCE

[0001] The present application is a non-provisional of, and claims the benefit of US Provisional Patent Application No. 61/598,626 (Attorney Docket No. 42194-705.101) filed February 14, 2012; the entire contents of which are incorporated herein by reference.

[0002] The present application is related to U.S. Patent Application Nos. 13/096,572 (Attorney Docket No. 42194-703.201) filed April 28, 2011; and 13/679,920 (Attorney Docket No. 42194-704.201) filed November 16, 2012; the entire contents of which are incorporated herein by reference.

### BACKGROUND OF THE INVENTION

[0003] 1. Field of the Invention. The present invention generally relates to medical devices and methods, and more particularly relates to the treatment of valve insufficiency, such as mitral insufficiency, also referred to as mitral regurgitation. The use of prosthetic valves delivered by traditional surgical implantation methods, or by less invasive percutaneous catheter or minimally invasive transapical methods are one possible treatment for valvar insufficiency (also referred to as regurgitation).

[0004] The heart of vertebrate animals is divided into four chambers, and is equipped with four valves (the mitral, aortic, pulmonary and tricuspid valves) that ensure that blood pumped by the heart flows in a forward direction through the cardiovascular system. The mitral valve of a healthy heart prevents the backflow of blood from the left ventricle into the left atrium of the heart, and comprises two flexible leaflets (anterior and posterior) that close when the left ventricle contracts. The leaflets are attached to a fibrous annulus, and their free edges are tethered by subvalvular chordae tendineae to papillary muscles in the left ventricle to prevent them from prolapsing into the left atrium during the contraction of the left ventricle.

[0005] Various cardiac diseases or degenerative changes may cause dysfunction in any of these portions of the mitral valve apparatus, causing the mitral valve to become abnormally narrowed or dilated, or to allow blood to leak (i.e. regurgitate) from the left ventricle back into the left

atrium. Any such impairments compromise cardiac sufficiency, and can be debilitating or life threatening.

**[0006]** Numerous surgical methods and devices have accordingly been developed to treat mitral valve dysfunction, including open-heart surgical techniques for replacing, repairing or re-shaping the native mitral valve apparatus, and the surgical implantation of various prosthetic devices such as annuloplasty rings to modify the anatomy of the native mitral valve. More recently, less invasive transcatheter techniques for the delivery of replacement mitral valve assemblies have been developed. In such techniques, a prosthetic valve is generally mounted in a crimped state on the end of a flexible catheter and advanced through a blood vessel or the body of the patient until the valve reaches the implantation site. The prosthetic valve is then expanded to its functional size at the site of the defective native valve.

**[0007]** While these devices and methods are promising treatments for valvar insufficiency, they can be difficult to deliver, expensive to manufacture, or may not be indicated for all patients. Additionally, these devices are often anchored into the native valve often by engaging tissue such as the native valve leaflets. Capturing a moving valve leaflet can be challenging. Therefore, it would be desirable to provide improved devices and methods for the treatment of valvar insufficiency such as mitral insufficiency. It would be desirable if these devices could easily engage tissue and anchor the device at the treatment site. At least some of these objectives will be met by the devices and methods disclosed below.

**[0008]** 2. Description of the Background Art. By way of example, PCT international patent number PCT/US2008/0544 0 (published as PCT international publication no. WO2008/103722), the disclosure of which is hereby incorporated by reference, describes a transcatheter mitral valve prosthesis that comprises a resilient ring, a plurality of leaflet membranes mounted with respect to the ring so as to permit blood flow therethrough in one direction, and a plurality of tissue-engaging positioning elements movably mounted with respect to the ring and dimensioned to grip the anatomical structure of the heart valve annulus, heart valve leaflets, and/or heart wall. Each of the positioning elements defines respective proximal, intermediate, and distal tissue engaging regions cooperatively configured and dimensioned to simultaneously engage separate corresponding areas of the tissue of an anatomical structure, and may include respective first, second, and third elongate tissue-piercing elements. The valve prosthesis may also include a skirt

mounted with respect to the resilient ring for sealing a periphery of the valve prosthesis against a reverse flow of blood around the valve prosthesis.

**[0009]** PCT international patent number PCT/US2009/041754 (published as PCT international publication no. WO2009/134701 ), the disclosure of which is hereby incorporated by reference, describes a prosthetic mitral valve assembly that comprises an anchor or outer support frame with a flared upper end and a tapered portion to fit the contours of the native mitral valve, and a tissue-based one-way valve mounted therein. The assembly is adapted to expand radially outwardly and into contact with the native heart tissue to create a pressure fit, and further includes tension members anchoring the leaflets of the valve assembly to a suitable location on the heart to function as prosthetic chordae tendineae.

**[0010]** Also known are prosthetic mitral valve assemblies that utilize a claw structure for attachment of the prosthesis to the heart (see, for example, U.S. patent application publication no. US2007/0016286 to Hermann et al., the disclosure of which is hereby incorporated by reference), as are prosthetic mitral valve assemblies that rely on the application of axial rather than radial clamping forces to facilitate the self-positioning and self-anchoring of the prosthesis with respect to the native anatomical structure.

**[0011]** Another method which has been proposed as a treatment of mitral valve regurgitation is the surgical bow tie method, which recently has been adapted into a minimally invasive catheter based treatment where an implant is used to clip the valve leaflets together. This procedure is more fully disclosed in the scientific and patent literature, such as in U.S. Patent No. 6,629,534 to St. Goar et al., the entire contents of which are incorporated herein by reference.

**[0012]** Other relevant publications include U.S. Patent Publication No. 2011/0015731 to Carpentier et al. and WO 2011137531 to Lane et al. While some of these devices and methods are promising, there still is a need for improved devices and methods that will further allow more accurate positioning of a prosthetic valve and that will also more securely anchor the valve in place. At least some of these objectives will be met by the exemplary embodiments disclosed herein.

## SUMMARY OF THE INVENTION

[0013] The present invention generally relates to medical devices and methods, and more particularly prosthetic valves used to treat mitral regurgitation. While the present disclosure focuses on the use of a prosthetic valve for treating mitral regurgitation, this is not intended to be limiting. The prosthetic valves disclosed herein may also be used to treat other body valves including other heart valves or venous valves. Exemplary heart valves include the aortic valve, the tricuspid valve, or the pulmonary valve. One of skill in the art will also appreciate that other body valves may also be treated with the devices and methods disclosed herein.

[0014] In a first aspect of the present invention, a prosthetic valve comprises a self-expanding frame having a superior end, an inferior end, and a midsection therebetween. The frame has an expanded configuration and a collapsed configuration. The collapsed configuration is adapted to be delivered to a patient's heart, and the expanded configuration is adapted to anchor the self-expanding frame in the patient's heart. The frame comprises a self-expanding atrial skirt adjacent the superior end, a self-expanding ventricular skirt adjacent the inferior end and first self-expanding tab adjacent the inferior end and coupled with the ventricular skirt. The atrial skirt forms a flanged region after self-expansion and that is configured to anchor the self-expanding frame to an atrial surface of the heart. The flanged region also comprises an edge of the flange. The ventricular skirt anchors the self-expanding frame to a ventricular surface of the heart after self-expansion. The first tab is coupled with the ventricular skirt and has a tip. The first tab radially self-expands when a constraint is removed therefrom. A receptacle is formed by the area bounded by the outer surface of the atrial skirt, and the outer surface of the ventricular skirt, and the inner surface of the first tab. The receptacle is adapted to receive a valve leaflet. A window in the receptacle is adapted to receive the valve leaflet and is defined by the gap between the edge of the flange and the tip of the first tab. The gap is maximized when the tip of the first tab is unconstrained and the base of the first tab is at least partially constrained. The gap is minimized when the tip of the first tab is unconstrained and the base of the first tab is also unconstrained.

[0015] When the gap is maximized, the window may be adapted to receive the valve leaflet in the receptacle, and when the gap is minimized, the receptacle may be adapted to engage the valve leaflet and anchor the prosthetic valve thereto. The tip of the first tab may move toward the

edge of the flange when the base of the first tab is released from a constraint. The tip of the tab may be adapted to engage a fibrous trigone or an anterior or posterior mitral valve leaflet. An angle  $\alpha$  may be defined by an inner surface of the first tab and an outer surface of the ventricular skirt. Angle  $\alpha$  may become more acute when the base of the first tab is released from a constraint and the tip of the first tab is also unconstrained. Angle  $\alpha$  may be maximized when the tip of the first tab is unconstrained and the base of the first tab is at least partially constrained.

**[0016]** The prosthesis may further comprise a commissure post coupled with the self-expanding frame and that has an end extending radially inward. An angle  $\beta$  may be defined by an outer surface of the commissure post and an inner surface of the ventricular skirt. Angle  $\beta$  may be minimized when the base of the first tab is at least partially constrained and the tip of the first tab is unconstrained. Angle  $\beta$  may be maximized when the base of the first tab is unconstrained and the tip of the first tab is unconstrained. The commissure post may be adapted to remain coupled to a delivery catheter after the base of the first tab and the tip of the first tab are unconstrained. A cover may be disposed at least partially over the self-expanding frame, and the cover may facilitate tissue ingrowth. The cover may comprise fabric, tissue or a polymer.

**[0017]** In some embodiments, the atrial skirt may expand before the tab and thus the atrial skirt may anchor the prosthetic cardiac valve to the atrium before the tab anchors the prosthetic cardiac valve to the valve leaflet. The tab may expand to a position transverse to a longitudinal axis of the prosthetic cardiac valve followed by expansion to a position more vertically oriented and that may be more parallel or substantially parallel to the longitudinal axis of the prosthetic cardiac valve.

**[0018]** In another aspect of the present invention, a method for anchoring a prosthetic valve to a cardiac valve having a valve leaflet comprises providing a delivery system having an outer sheath, and providing a prosthetic valve. The prosthetic valve is carried by the delivery system, and the prosthetic valve comprises an atrial skirt, a ventricular skirt and a first tab coupled to the ventricular skirt. An outer surface of the atrial skirt, an outer surface of the ventricular skirt, and an inner surface of the first tab forms a leaflet receptacle. The leaflet receptacle has a window for receiving the valve leaflet. The window is defined by a gap between an edge of the atrial skirt and a tip of the first tab. The method also comprises positioning the prosthetic valve adjacent the cardiac valve, self-expanding the atrial skirt into engagement with an atrial surface

of the cardiac valve, and self-expanding the ventricular skirt into engagement with a ventricular surface of the cardiac valve. A constraint is removed from a portion of the first tab thereby allowing a tip of the first tab to expand radially outward. The valve leaflet is received through the window and into the leaflet receptacle, and partial or total closure of the window engages the valve leaflet with the leaflet receptacle thereby anchoring the prosthetic valve to the valve leaflet.

**[0019]** Positioning the prosthetic valve adjacent the cardiac valve may comprise transseptal or transapical delivery of the prosthetic valve to the cardiac valve. Self-expanding the atrial skirt may comprise retracting the outer sheath thereby removing a constraint therefrom. Self-expanding the atrial skirt may comprise forming a flange which engages an atrial surface of the cardiac valve thereby anchoring the prosthetic valve thereagainst. Self-expanding the ventricular skirt may comprise retracting the outer sheath thereby removing a constraint therefrom. Self-expanding the ventricular skirt may also comprise expanding the ventricular skirt into engagement with a ventricular surface of the cardiac valve thereby anchoring the prosthetic valve thereagainst. Removing a constraint from a portion of the first tab may comprise retracting the outer sheath therefrom. At least partially closing the window may comprise further retracting the outer sheath to remove a constraint from a base of the first tab thereby allowing the base to radially expand outward such that the tip of the first tab moves toward the edge of the atrial skirt. The valve leaflet may comprise an anterior mitral valve leaflet and the method may further comprise engaging the tip of the first tab with a fibrous trigone of the mitral valve. The prosthetic valve may also have a second anterior tab that also has a tip which engages an opposite side of the fibrous trigone. The valve leaflet may comprise a posterior mitral valve leaflet, and engaging the valve leaflet may comprise engaging the posterior mitral valve leaflet.

**[0020]** In yet another aspect of the present invention, a system for deploying a prosthetic valve comprises a prosthetic cardiac valve comprising an atrial skirt, a ventricular skirt, and a tab coupled to the ventricular skirt. The system also includes a delivery system having an outer sheath, and the prosthetic cardiac valve is carried by the delivery system. The outer sheath comprises a cam on the outer sheath adjacent a distal end thereof. Partial retraction of the outer sheath releases a constraint from the atrial skirt and the ventricular skirt thereby allowing self-expansion thereof. Further retraction of the outer sheath releases a constraint from the tab thereby allowing a tip of the tab to radially self-expand outward forming a window between an

edge of the atrial skirt and the tip of the tab. While the cam remains engaged with a base portion of the tab, the tip self-expands such that the window opens to its maximum size. Further retraction of the outer sheath disengages the cam from the base portion of the tab thereby releasing a constraint therefrom. This allows the base of the tab to radially expand outward and the tip of the tab moves toward the edge of the atrial skirt, at least partially closing the window.

**[0021]** The cam may comprise an annular flange disposed on an inside surface of the outer sheath. The outer sheath may comprise a lumen and the prosthetic cardiac valve may be disposed therein. The window may be adapted to receive a valve leaflet while open. The prosthetic valve may be anchored to the valve leaflet after the window is at least partially closed. The system may further comprise a cover disposed at least partially over the prosthetic cardiac valve. The cover may facilitate tissue ingrowth. The cover may comprise fabric, tissue, or a polymer. The tip of the tab may be adapted to engage a fibrous trigone. The tab may be adapted to engage an anterior or a posterior mitral valve leaflet.

**[0022]** In another aspect of the present invention, a method for anchoring a prosthetic valve to a cardiac valve having a valve leaflet comprises providing a prosthetic cardiac valve that comprises an atrial skirt, a ventricular skirt, and a tab coupled to the ventricular skirt, and also providing a delivery system with an outer sheath. The outer sheath has a cam adjacent a distal end thereof, and wherein the prosthetic cardiac valve is carried by the delivery system. The method also includes self-expanding the atrial skirt and the ventricular skirt, as well as self-expanding the tab such that a tip of the tab expands radially outward and whereby a window is formed between an edge of the atrial skirt and the tip of the tab. The window is opened to its maximum size and a valve leaflet is received in the window. The base portion of the tab is self-expanded radially outward and the window is at least partially closed when the tip of the tab moves toward the edge of the atrial skirt.

**[0023]** Self-expanding the atrial skirt and the ventricular skirt may comprise retracting the outer sheath thereby releasing a constraint therefrom. Self-expanding the atrial skirt may allow the atrial skirt to self-expand into engagement with an atrial surface of the cardiac valve. Self-expanding the ventricular skirt may allow the ventricular skirt to self-expand into engagement with a ventricular surface of the cardiac valve. Self-expanding the tab may comprise retracting the outer sheath thereby releasing a constraint therefrom. Opening the window may comprise

maintaining engagement of the cam with a base portion of the tab such that the tip self-expands independently of the base of the tab. Self-expanding the base portion may comprise disengaging the cam from the base portion of the tab thereby releasing a constraint therefrom. The valve leaflet may comprise an anterior mitral valve leaflet, and the method may further comprise engaging the tip of the tab with a fibrous trigone of the mitral valve. The valve leaflet may comprise a posterior mitral valve leaflet, and the method may further comprise engaging the tab with the posterior mitral valve leaflet.

**[0024]** In still another aspect of the present invention, a system for deploying a prosthetic valve comprises a prosthetic cardiac valve comprising an atrial skirt, a ventricular skirt, and a tab coupled to the ventricular skirt. The system also comprises a delivery system comprising an outer sheath and a pusher element. The prosthetic cardiac valve is carried by the delivery system and the pusher element is slidably disposed under the outer sheath. Partial retraction of the outer sheath releases a constraint from the atrial skirt and the ventricular skirt thereby allowing self-expansion thereof. Further retraction of the outer sheath releases a constraint from the tab thereby allowing a tip of the tab to radially self-expand outward forming a window between an edge of the atrial skirt and the tip of the tab. A base portion of the tab remains constrained by the outer sheath and actuation of the pusher element into engagement with the base portion actuates the tip of the tab to open the window to its maximum size. Further retraction of the outer sheath or further actuation of the pusher element removes the constraint from the base portion of the tab, thereby at least partially closing the window.

**[0025]** The base portion may self-expand radially outward when the constraint is released therefrom, and the tip of the tab may move toward the edge of the atrial skirt to close the window. A cover may be disposed at least partially over the prosthetic cardiac valve in order to facilitate tissue ingrowth. The cover may comprise fabric, tissue, or a polymer. The tab may be adapted to engage a fibrous trigone, or the tab may be adapted to engage an anterior or a posterior mitral valve leaflet.

**[0026]** In yet another aspect of the present invention, a method for anchoring a prosthetic valve to a cardiac valve having a valve leaflet comprises providing a prosthetic cardiac valve and providing a delivery system. The cardiac valve comprises an atrial skirt, a ventricular skirt, and a tab coupled to the ventricular skirt. The delivery system comprises an outer sheath and a

pusher element, wherein the cardiac valve is carried by the delivery system and the pusher element is slidably disposed under the outer sheath. The method also comprises self-expanding the atrial skirt into engagement with an atrial surface of the cardiac valve, self-expanding ventricular skirt into engagement with a ventricular surface of the cardiac valve, and self-expanding the tab such that a tip of the tab expands radially outward to form a window between an edge of the atrial skirt and the tip of the tab. While a base portion of the tab remains constrained by the outer sheath, the method comprises opening the window to its maximum size, and receiving a valve leaflet into the window. The window is then closed.

**[0027]** Self-expanding the atrial skirt may comprise retracting the outer sheath to remove a constraint therefrom. Self-expanding the ventricular skirt may comprise retracting the outer sheath to remove a constraint therefrom. Self-expanding the tab may comprise retracting the outer sheath to remove a constraint therefrom. Opening the window may comprise actuating the pusher element into engagement with the base portion thereby moving the tip away from edge of the atrial skirt. Closing the window may comprise further retraction of the outer sheath to remove a constraint from the base portion, thereby allowing the base portion to radially expand outward and the tip to move toward the edge of the atrial skirt. Closing the window may comprise disengaging the pusher element from the base portion, thereby allowing the base portion to return to an unbiased position. The unbiased position may be radially outward away from the delivery system. Closing the window may comprise pushing the base portion out of the outer sheath with the pusher element, thereby allowing the base portion to expand radially outward and the tip to move toward the edge of the atrial skirt. The valve leaflet may comprise an anterior mitral valve leaflet, and the method may further comprise engaging the tip of the tab with a fibrous trigone of the mitral valve. The valve leaflet may comprise a posterior mitral valve leaflet and the method may further comprise engaging the tab with the posterior mitral valve leaflet.

**[0028]** These and other embodiments are described in further detail in the following description related to the appended drawing figures.

## INCORPORATION BY REFERENCE

[0029] All publications, patents, and patent applications mentioned in this specification are herein incorporated by reference to the same extent as if each individual publication, patent, or patent application was specifically and individually indicated to be incorporated by reference.

## BRIEF DESCRIPTION OF THE DRAWINGS

[0030] The novel features of the invention are set forth with particularity in the appended claims. A better understanding of the features and advantages of the present invention will be obtained by reference to the following detailed description that sets forth illustrative embodiments, in which the principles of the invention are utilized, and the accompanying drawings of which:

[0031] Fig. 1 is a schematic illustration of the left ventricle of a heart showing blood flow during systole with arrows.

[0032] Fig. 2 is a schematic illustration of the left ventricle of a heart having prolapsed leaflets in the mitral valve.

[0033] Fig. 3 is a schematic illustration of a heart in a patient suffering from cardiomyopathy where the heart is dilated and the leaflets do not meet.

[0034] Fig. 3A shows normal closure of the valve leaflets.

[0035] Fig. 3B shows abnormal closure of the valve leaflets.

[0036] Fig. 4 illustrates mitral valve regurgitation in the left ventricle of a heart having impaired papillary muscles.

[0037] Figs. 5A-5B illustrate anatomy of the mitral valve.

[0038] Fig. 6 illustrates an exemplary embodiment of an uncovered frame in a prosthetic cardiac valve, with the frame flattened out and unrolled.

[0039] Fig. 7 illustrates another exemplary embodiment of an uncovered frame in a prosthetic cardiac valve, with the frame flattened out and unrolled.

[0040] Fig. 8 illustrates still another exemplary embodiment of an uncovered frame in a prosthetic cardiac valve, with the frame flattened out and unrolled.

[0041] Fig. 9A illustrates a perspective view of an uncovered frame in a prosthetic cardiac valve after it has expanded.

[0042] Fig. 9B illustrates a top view of the embodiment in Fig. 9A.

[0043] Fig. 10 illustrates the frame of Fig. 9A with the covering thereby forming a prosthetic cardiac valve.

[0044] Figs. 11A-11D illustrate an exemplary embodiment of a delivery system used to transapically deliver a prosthetic cardiac valve.

[0045] Figs. 12A-12L illustrate an exemplary method of implanting a prosthetic cardiac valve.

[0046] Figs. 13A-13L illustrate another exemplary method of implanting a prosthetic cardiac valve.

[0047] Fig. 14 illustrates engagement of the prosthetic valve tabs with the valve leaflets.

[0048] Figs. 15A-15B illustrate release of a prosthetic valve from a delivery system.

[0049] Figs. 16A-16B illustrate release of a prosthetic valve from a delivery system.

[0050] Figs. 17A-17B schematically illustrate deployment of a prosthetic valve from a delivery system.

[0051] Figs. 18A-18B illustrate an embodiment of a prosthetic valve and delivery system that controls deployment of the prosthetic valve.

[0052] Figs. 19A-19B illustrate another embodiment of a prosthetic valve and delivery system that controls deployment of the prosthetic valve.

[0053] Figs. 20A-20B illustrate still another embodiment of a prosthetic valve and delivery system that controls deployment of the prosthetic valve.

## DETAILED DESCRIPTION OF THE INVENTION

[0054] Specific embodiments of the disclosed device, delivery system, and method will now be described with reference to the drawings. Nothing in this detailed description is intended to imply that any particular component, feature, or step is essential to the invention.

[0055] Cardiac Anatomy. The left ventricle LV of a normal heart H in systole is illustrated in Fig. 1. The left ventricle LV is contracting and blood flows outwardly through the aortic valve AV, a tricuspid valve in the direction of the arrows. Back flow of blood or "regurgitation" through the mitral valve MV is prevented since the mitral valve is configured as a "check valve" which prevents back flow when pressure in the left ventricle is higher than that in the left atrium LA. The mitral valve MV comprises a pair of leaflets having free edges FE which meet evenly to close, as illustrated in Fig. 1. The opposite ends of the leaflets LF are attached to the surrounding heart structure along an annular region referred to as the annulus AN. The free edges FE of the

leaflets LF are secured to the lower portions of the left ventricle LV through chordae tendineae CT (also referred to herein as the chordae) which include a plurality of branching tendons secured over the lower surfaces of each of the valve leaflets LF. The chordae CT in turn, are attached to the papillary muscles PM which extend upwardly from the lower portions of the left ventricle and interventricular septum IVS.

[0056] Referring now to Figs. 2-4, a number of structural defects in the heart can cause mitral valve regurgitation. Ruptured chordae RCT, as shown in Fig. 2, can cause a valve leaflet LF2 to prolapse since inadequate tension is transmitted to the leaflet via the chordae. While the other leaflet LF1 maintains a normal profile, the two valve leaflets do not properly meet and leakage from the left ventricle LV into the left atrium LA will occur, as shown by the arrow.

[0057] Regurgitation also occurs in patients suffering from cardiomyopathy where the heart is dilated and the increased size prevents the valve leaflets LF from meeting properly, as shown in Fig. 3. The enlargement of the heart causes the mitral annulus to become enlarged, making it impossible for the free edges FE to meet during systole. The free edges of the anterior and posterior leaflets normally meet along a line of coaptation C as shown in Fig. 3A, but a significant gap G can be left in patients suffering from cardiomyopathy, as shown in Fig. 3B.

[0058] Mitral valve regurgitation can also occur in patients who have suffered ischemic heart disease where the functioning of the papillary muscles PM is impaired, as illustrated in Fig. 4. As the left ventricle LV contracts during systole, the papillary muscles PM do not contract sufficiently to effect proper closure. The leaflets LF1 and LF2 then prolapse, as illustrated.

Leakage again occurs from the left ventricle LV to the left atrium LA, as shown by the arrow.

[0059] Fig. 5A more clearly illustrates the anatomy of a mitral valve MV which is a bicuspid valve having an anterior side ANT and a posterior side POST. The valve includes an anterior (aortic) leaflet AL and a posterior (mural) leaflet PL. Chordae tendineae CT couple the valve leaflets AL, PL with the antero-lateral papillary muscle ALPM and the postero-medial papillary muscle PMPM. The valve leaflets AL, PL join one another along a line referred to as the antero-lateral commissure ALC and the posterior-medial commissure PMC. The annulus AN circumscribes the valve leaflets, and two regions adjacent an anterior portion of the annulus, on opposite sides of the anterior leaflet are referred to as the left fibrous trigone LFT and also the

right fibrous trigone RFT. These areas are indicated generally by the solid triangles. Fig. 5B more clearly illustrates the left and right fibrous trigones, LFT, RFT.

**[0060]** While various surgical techniques as well as implantable devices have been proposed and appear to be promising treatments for mitral regurgitation, surgical approaches can require a lengthy recovery period, and implantable devices have varying clinical results. Therefore, there still is a need for improved devices and methods for treating mitral regurgitation. While the embodiments disclosed herein are directed to an implantable prosthetic mitral valve for treating mitral regurgitation, one of skill in the art will appreciate that this is not intended to be limiting, and the device and methods disclosed herein may also be used to treat other cardiac valves such as the tricuspid valve, aortic valve, pulmonary valve, etc, as well as other valves in the body such as venous valves, as well as valves in the gastrointestinal system, respiratory system, and other anatomical valves.

**[0061]** Prosthetic Valve. Prosthetic valves have been surgically implanted in the heart as a treatment for mitral regurgitation. Some of these valves have been valves harvested from animals such as porcine valves, other mechanical valves are manufactured from rigid components, and still others are manufactured from pericardial tissues. More recently, minimally invasive technology has been used to deliver prosthetic valves to the heart. These valves typically include an anchor for securing the valve to the patient's heart, and a valve mechanism, either a rigid valve, a valve with animal tissue, or combinations thereof.

**[0062]** The prosthetic valve once implanted, takes over for a malfunctioning native valve, thereby reducing or eliminating valvar insufficiency. While some of these valves appear promising, there still is a need for improved valves. Positioning and anchoring the prosthetic valve in the native anatomy remains a challenge. The following discloses exemplary embodiments of a prosthetic valve, a delivery system for the prosthetic valve, and methods of delivering the valve that overcome some of the challenges associated with existing prosthetic valves.

**[0063]** Fig. 6 illustrates an exemplary embodiment of a prosthetic cardiac valve in the collapsed configuration. Coverings from the frame (e.g. fabric or tissue) has been removed to permit observation of the underlying frame 600. The frame has been unrolled and flattened out. The prosthetic valve frame 600 has an atrial region 606, an annular region 608, and a ventricular

region 610. The frame 600 is formed from a plurality of interconnected struts that form a series of peaks and valleys which can expand and contract relative to one another thereby permitting the frame to be loaded onto a delivery catheter in a collapsed configuration, and then radially expanded at a target treatment site for implantation. Preferred embodiments are self-expanding and may be fabricated using super elastic nitinol or other self-expanding materials. Shape memory alloys that spring open above a transition temperature may also be used, and expandable members may also be used to expand the frame when plastic deformation (e.g. balloon expansion) is required to open the frame.

**[0064]** Atrial region 606 has a skirt 616 which includes a plurality of interconnected struts that form a series of peaks and valleys. In this region, the struts are skew relative to one another and thus the resulting cell pattern has an enlarged end and the opposite end tapers to a smaller end. In preferred embodiments, the anterior portion of the atrial skirt does not have a flanged region like the posterior portion, thus the anterior portion 602 of the atrial region may have shorter struts than the posterior region 604. Thus the peaks and valleys in the anterior portion are axially offset from those in the remaining posterior portion of the atrial region. This may be advantageous as it prevents the struts in the anterior portion of the atrial skirt from protruding upwards potentially impinging against the left atrium and causing perforations. Additionally, the shortened struts and offset peaks and valleys form an alignment element 614 that can assist the physician to visualize delivery of the prosthetic valve to the mitral valve and alignment of the prosthetic valve prior to expansion of the prosthetic valve. Optional radiopaque markers 614a are disposed on either side of the offset peaks and valleys and further help with visualization during implantation of the valve. The atrial region preferably self-expands to either a cylindrical shape, or it may have a D-shaped cross-section where the anterior portion 602 is substantially flat, and the posterior portion 604 is cylindrically shaped. This allows the atrial skirt to conform to the anatomy of the native mitral valve, thereby preventing obstruction of the aorta. Additionally, the atrial skirt may also be formed so that upon expansion, the skirt flares outward and forms a flange that can rest against a superior surface of the mitral valve. The flanged region is preferably along the posterior portion of the atrial skirt, and the anterior portion of the atrial skirt remains flangeless, also helping to prevent aortic impingement. Or, the flange may extend entirely around the atrial skirt. The atrial region is connected to the adjacent annular region 608

with connecting struts which are preferably linear and substantially parallel to the longitudinal axis of the frame.

**[0065]** The annular region 608 is also comprised of a plurality of axially oriented and interconnected struts that form peaks and valleys that allow radial expansion. The struts are preferably parallel with one another and parallel with the longitudinal axis of the frame. The annular region may also be self-expanding and expand into a cylindrical shape, or more preferably the annular region may expand to have a D-shaped cross-section as described above with respect to the atrial region. Thus, the annular region may similarly have a flat anterior portion, and a cylindrically shaped posterior portion. Upon delivery, the annular region is aligned with and expanded into engagement with the mitral valve annulus. Connector struts join the annular region with the ventricular region 610.

**[0066]** The ventricular region 610 also includes a plurality of interconnected struts that form peaks and valleys. Additionally, the struts in the ventricular region form the leaflet commissures 613 which are covered with fabric, pericardial tissue, or other materials to form the prosthetic valve leaflets. Holes in the commissures allow suture to be attached thereto. Struts in the ventricular region also form a ventricular skirt 628 which expands outward to engage the anterior and posterior mitral valve leaflets, and struts in the ventricular region also form the anterior tabs 624 and the posterior tab 630. The anterior tabs are designed to capture the anterior mitral valve leaflet between an inner surface of the anterior tab and outer surface of the ventricular skirt. Any adjacent chordae tendineae may also be captured therebetween. Also, the tip of the anterior tab engages the fibrous trigone on an anterior portion of the mitral valve, one on the left and one on the right side. The posterior tab similarly captures the posterior mitral valve leaflet between an inner surface of the posterior tab and an outer surface of the ventricular skirt, along with any adjacent chordae tendineae. This will be described in more detail below.

**[0067]** By controlling strut length or axial position of the anterior or posterior tabs along the frame, deployment of the tabs may be controlled. Thus in this exemplary embodiment, because the length of the struts in the anterior tabs and posterior tabs 624, 630 as well as their relative position along the frame are the same as one another, when a constraining sheath is retracted away from the tabs, the anterior and posterior tabs will partially spring outward together. As the constraining sheath is further retracted, the remainder of the anterior tabs will self-expand

radially outward. Further retraction of the constraining sheath then allows the remainder of the posterior tab to finish its radial expansion, and finally the ventricular skirt will radially expand outward. While strut lengths and axial position of the posterior tab and the ventricular skirt are similar, internal struts connect the ventricular skirt with the commissures, and this delays expansion of the ventricular skirt slightly, thus the posterior tab finishes expansion before the ventricular skirt. Using this sequence of deploying the prosthetic valve may allow the valve to more accurately be delivered and also more securely anchored into position.

**[0068]** Suture holes 621 are disposed along the struts of the annular region as well as the ventricular region to allow attachment of a cover such as pericardium or a polymer such as Dacron or ePTFE. The suture holes may also be disposed along any other part of the frame. Barbs 623 are disposed along the ventricular skirt 628 to help anchor the prosthetic valve to adjacent tissue. Commissure tabs or tabs 612 are disposed on the tips of the commissures 613 and may be used to releasably couple the commissures with a delivery system as will be described below. This allows the frame to expand first, and then the commissures may be released from the delivery system afterwards. One of skill in the art will appreciate that a number of strut geometries may be used, and additionally that strut dimensions such as length, width, thickness, etc. may be adjusted in order to provide the anchor with the desired mechanical properties such as stiffness, radial crush strength, commissure deflection, etc. Therefore, the illustrated geometry is not intended to be limiting.

**[0069]** The frame may be formed by EDM, laser cutting, photochemical etching, or other techniques known in the art. Hypodermic tubing or flat sheets may be used to form the frame. Once the frame has been cut and formed into a cylinder, it may be radially expanded into a desired geometry and heat treated using known processes to set the shape. Thus, the prosthetic valve may be loaded onto a delivery catheter in a collapsed configuration and constrained in the collapsed configuration with a constraining sheath. Removal of the constraining sheath will allow the anchor to self-expand into its unbiased pre-set shape. In other embodiments, an expandable member such as a balloon may be used to radially expand the anchor into its preferred expanded configuration.

**[0070]** Fig. 7 illustrates another exemplary embodiment of a prosthetic cardiac valve in the collapsed configuration, and similar to the previous embodiment with the major difference being

the strut lengths in the anterior tabs, posterior tab, and ventricular skirt. Varying the strut lengths allow the sequence of expansion of the anterior and posterior tabs and ventricular skirt to be controlled. Coverings from the frame (e.g. fabric or tissue) has been removed to permit observation of the underlying frame 700. The frame has been unrolled and flattened out. The prosthetic valve frame 700 has an atrial region 706, an annular region 708, and a ventricular region 710. The frame 700 is formed from a plurality of interconnected struts that form a series of peaks and valleys which can expand and contract relative to one another thereby permitting the frame to be loaded onto a delivery catheter in a collapsed configuration, and then radially expanded at a target treatment site for implantation. Preferred embodiments are self-expanding and may be fabricated using super elastic nitinol or other self-expanding materials. Shape memory alloys that spring open above a transition temperature may also be used, and expandable members may also be used to expand the frame when plastic deformation (e.g. balloon expansion) is required to open the frame.

[0071] Atrial region 706 has a skirt 716 which includes a plurality of interconnected struts that form a series of peaks and valleys. In this region, the struts are skew relative to one another and thus the resulting cell pattern has an enlarged end and the opposite end tapers to a smaller end. An anterior portion 702 of the atrial region has shorter struts than the posterior region 704. Thus the peaks and valleys in the anterior portion are axially offset from those in the remaining posterior portion of the atrial region. This allows creation of an alignment element 714 to help the physician deliver the prosthetic valve to the mitral valve and align the prosthetic valve prior to expansion of the prosthetic valve. Other aspects of the atrial region 706 are similar to those of the atrial region 606 in Fig. 6. Optional radiopaque markers 714a are disposed on either side of the offset peaks and valleys and help with visualization during implantation of the valve. The atrial region preferably self-expands to either a cylindrical shape, or it may have a D-shaped cross-section where the anterior portion 702 is substantially flat, and the posterior portion 704 is cylindrically shaped. This allows the atrial skirt to conform to the anatomy of the native mitral valve, thereby preventing obstruction of the left ventricular outflow tract. Additionally, the atrial skirt may also be formed so that upon expansion, the skirt flares outward and forms a flange that can rest against a superior surface of the mitral valve. The flanged region is preferably along the posterior portion of the atrial skirt, and the anterior portion of the atrial skirt remains flangeless.

Or, the flange may extend entirely around the atrial skirt. The atrial region is connected to the adjacent annular region 708 with connecting struts which are preferably linear and substantially parallel to the longitudinal axis of the frame.

[0072] The annular region 708 is also comprised of a plurality of axially oriented and interconnected struts that form peaks and valleys that allow radial expansion. The struts are preferably parallel with one another and parallel with the longitudinal axis of the frame. The annular region may also be self-expanding and expand into a cylindrical shape, or more preferably the annular region may expand to have a D-shaped cross-section as described above with respect to the atrial region. Thus, the annular region may similarly have a flat anterior portion, and a cylindrically shaped posterior portion. Upon delivery, the annular region is aligned with and expanded into engagement with the mitral valve annulus. Connector struts join the annular region with the ventricular region 710.

[0073] The ventricular region 710 also includes a plurality of interconnected struts that form peaks and valleys. Additionally, the struts in the ventricular region form the leaflet commissures 713 which are covered with fabric, pericardial tissue, or other materials to form the prosthetic valve leaflets. Holes in the commissures allow suture to be attached thereto. Struts in the ventricular region also form a ventricular skirt 728 which expands outward to engage the anterior and posterior mitral valve leaflets, and struts in the ventricular region also form the anterior tabs 724 and the posterior tab 730. The anterior tabs are designed to capture the anterior mitral valve leaflet between an inner surface of the anterior tab and outer surface of the ventricular skirt. Any adjacent chordae tendineae may also be captured therebetween. Also, the tip of the anterior tab engages the fibrous trigone on an anterior portion of the mitral valve, one on the left and one on the right side. The posterior tab similarly captures the posterior mitral valve leaflet between an inner surface of the posterior tab and an outer surface of the ventricular skirt, along with any adjacent chordae tendineae. This will be described in more detail below.

[0074] By controlling strut length or axial position of the anterior or posterior tabs along the frame, deployment of the tabs may be controlled. Thus in this exemplary embodiment, because the length of the struts in the anterior tabs and posterior tabs 724, 730 as well as their relative position along the frame are the same as one another, when a constraining sheath is retracted away from the tabs, the anterior and posterior tabs will partially spring outward together. As the

constraining sheath is further retracted, the remainder of the anterior tabs will self-expand radially outward because they are the shortest relative to the struts in the ventricular skirt and the posterior tab. Further retraction of the constraining sheath then allows the ventricular skirt to radially expand, and finally further retraction of the sheath allows the remainder of the posterior tab to finish its radial expansion. Using this sequence of deploying the prosthetic valve may allow the valve to more accurately be delivered and also more securely anchored into position.

**[0075]** Suture holes 721 are disposed along the struts of the annular region as well as the ventricular region to allow attachment of a cover such as pericardium or a polymer such as Dacron or ePTFE. The suture holes may also be disposed along any other part of the frame. Barbs 723 are disposed along the ventricular skirt 728 to help anchor the prosthetic valve to adjacent tissue. Commissure tabs or tabs 712 are disposed on the tips of the commissures 713 and may be used to releasably couple the commissures with a delivery system as will be described below. This allows the frame to expand first, and then the commissures may be released from the delivery system afterwards. One of skill in the art will appreciate that a number of strut geometries may be used, and additionally that strut dimensions such as length, width, thickness, etc. may be adjusted in order to provide the anchor with the desired mechanical properties such as stiffness, radial crush strength, commissure deflection, etc. Therefore, the illustrated geometry is not intended to be limiting. The frame may be formed similarly as described above with respect to Fig. 6.

**[0076]** Fig. 8 illustrates another exemplary embodiment of a prosthetic cardiac valve in the collapsed configuration, and is similar to the previous embodiments, with the major difference being that the posterior tab is designed to expand to form an elongate horizontal section which allows engagement and anchoring of the posterior tab with the sub-annular region between the posterior leaflet and the ventricular wall. Thus, the elongate horizontal section contacts a larger region of the sub-annular region as compared with a posterior tab that only has a tapered tip formed from a single hinge between struts. This provides enhanced anchoring of the prosthetic valve. In this exemplary embodiment, the anterior tabs will completely self-expand first, followed by the posterior tab and then the ventricular skirt. However, in some situations external factors such as the delivery system, anatomy, etc. may alter the sequence of expansion, and therefore this is not intended to be limiting. Coverings from the frame (e.g. fabric or tissue)

have been removed to permit observation of the underlying frame 800. The frame has been unrolled and flattened out. The prosthetic valve frame 800 has an atrial region 806, an annular region 808, and a ventricular region 810. The frame 800 is formed from a plurality of interconnected struts that form a series of peaks and valleys which can expand and contract relative to one another thereby permitting the frame to be loaded onto a delivery catheter in a collapsed configuration, and then radially expanded at a target treatment site for implantation. Preferred embodiments are self-expanding and may be fabricated using super elastic nitinol or other self-expanding materials. Shape memory alloys that spring open above a transition temperature may also be used, and expandable members may also be used to expand the frame when plastic deformation (e.g. balloon expansion) is required to open the frame.

[0077] Atrial region 806 has a skirt 816 which includes a plurality of interconnected struts that form a series of peaks and valleys. In this region, the struts are skew relative to one another and thus the resulting cell pattern has an enlarged end and the opposite end tapers to a smaller end. An anterior portion 802 of the atrial region has shorter struts than the posterior region 804. Thus the peaks and valleys in the anterior portion are axially offset from those in the remaining posterior portion of the atrial region. This allows creation of an alignment element 814 to help the physician deliver the prosthetic valve to the mitral valve and align the prosthetic valve prior to expansion of the prosthetic valve. Other aspects of the atrial region 806 are similar to those of the atrial region 606 in Fig. 6. Optional radiopaque markers 814a are disposed on either side of the offset peaks and valleys and help with visualization during implantation of the valve. The atrial region preferably self-expands to either a cylindrical shape, or it may have a D-shaped cross-section where the anterior portion 802 is substantially flat, and the posterior portion 804 is cylindrically shaped. This allows the atrial skirt to conform to the anatomy of the native mitral valve, thereby preventing obstruction of the left ventricular outflow tract. Additionally, the atrial skirt may also be formed so that upon expansion, the skirt flares outward and forms a flange that can rest against a superior surface of the mitral valve. The flanged region is preferably along the posterior portion of the atrial skirt, and the anterior portion of the atrial skirt remains flangeless. Or, the flange may extend entirely around the atrial skirt. The atrial region is connected to the adjacent annular region 808 with connecting struts which are preferably linear and substantially parallel to the longitudinal axis of the frame.

**[0078]** The annular region 808 is also comprised of a plurality of axially oriented and interconnected struts that form peaks and valleys that allow radial expansion. The struts are preferably parallel with one another and parallel with the longitudinal axis of the frame. The annular region may also be self-expanding and expand into a cylindrical shape, or more preferably the annular region may expand to have a D-shaped cross-section as described above with respect to the atrial region. Thus, the annular region may similarly have a flat anterior portion, and a cylindrically shaped posterior portion. Upon delivery, the annular region is aligned with and expanded into engagement with the mitral valve annulus. Connector struts join the annular region with the ventricular region 810.

**[0079]** The ventricular region 810 also includes a plurality of interconnected struts that form peaks and valleys. Additionally, the struts in the ventricular region form the leaflet commissures 813 which are covered with fabric, pericardial tissue, or other materials to form the prosthetic valve leaflets. Holes in the commissures allow suture to be attached thereto. Struts in the ventricular region also form a ventricular skirt 828 which expands outward to engage the anterior and posterior mitral valve leaflets, and struts in the ventricular region also form the anterior tabs 824 and the posterior tab 830. The anterior tabs are designed to capture the anterior mitral valve leaflet between an inner surface of the anterior tab and outer surface of the ventricular skirt. Any adjacent chordae tendineae may also be captured therebetween. Also, the tip of the anterior tab engages the fibrous trigone on an anterior portion of the mitral valve, one on the left and one on the right side. The posterior tab similarly captures the posterior mitral valve leaflet between an inner surface of the posterior tab and an outer surface of the ventricular skirt, along with any adjacent chordae tendineae. This will be described in more detail below. The posterior tab is similar to the posterior tabs described above in Figs. 6-7, except that in this embodiment, the posterior tab comprises four interconnected struts as opposed to two interconnected struts. Thus, in this embodiment the plurality of interconnected struts form three hinged regions 836 along the tab. Upon expansion of the posterior tab, the hinged regions will also expand, thereby forming an elongate horizontal section which allows engagement and anchoring of the posterior tab with the sub-annular region between the posterior leaflet and the ventricular wall. This may help position and anchor the prosthetic valve better than posterior tabs which only have a smaller footprint or a single tapered tip for engagement with the posterior portion of the mitral valve.

The posterior leaflet in this embodiment, may be substituted with any of the other posterior tabs described in this specification.

**[0080]** By controlling strut length or axial position of the anterior or posterior tabs along the frame, deployment of the tabs may be controlled. Thus in this exemplary embodiment, because the length of the struts in the anterior tabs and posterior tabs 824, 830 as well as their relative position along the frame are the same as one another, when a constraining sheath is retracted away from the tabs, the anterior and posterior tabs will partially spring outward together. As the constraining sheath is further retracted, the remainder of the anterior tabs will self-expand radially outward because they are the shortest relative to the struts in the ventricular skirt and the posterior tab. Further retraction of the constraining sheath then allows the remainder of the posterior tab to finish self-expanding, followed by self-expansion of the ventricular skirt. Using this sequence of deploying the prosthetic valve may allow the valve to more accurately be delivered and also more securely anchored into position.

**[0081]** Suture holes 821 are disposed along the struts of the annular region as well as the ventricular region to allow attachment of a cover such as pericardium or a polymer such as Dacron or ePTFE. The suture holes may also be disposed along any other part of the frame. Barbs 823 are disposed along the ventricular skirt 828 to help anchor the prosthetic valve to adjacent tissue. Commissure tabs or tabs 812 are disposed on the tips of the commissures 813 and may be used to releasably couple the commissures with a delivery system as will be described below. This allows the frame to expand first, and then the commissures may be released from the delivery system afterwards. One of skill in the art will appreciate that a number of strut geometries may be used, and additionally that strut dimensions such as length, width, thickness, etc. may be adjusted in order to provide the anchor with the desired mechanical properties such as stiffness, radial crush strength, commissure deflection, etc. Therefore, the illustrated geometry is not intended to be limiting. The frame may be formed similarly as described above with respect to those previously described above.

**[0082]** Fig. 9A illustrates the frame 900 of a prosthetic cardiac valve after it has expanded. Any of the frame embodiments described above may take this form as each of the above frames have similar geometry but they expand in different order. The frame includes the atrial skirt 906 with anterior portion 914 and posterior portion 916. A flanged region is formed around the posterior

portion and the anterior portion remains flangeless. Additionally, the anterior portion is generally flat, while the posterior portion is cylindrically shaped, thereby forming a D-shaped cross-section which accommodates the mitral valve anatomy. Fig. 9B is a top view of the embodiment in Fig. 9A and more clearly illustrates the D-shaped cross-section.

**[0083]** The frame also includes the annular region 910 and ventricular skirt 912. Anterior tabs 904 (only one visible in this view) is fully expanded such that a space exists between the inner surface of the anterior tab and outer surface of the ventricular skirt. This allows the anterior leaflet and adjacent chordae to be captured therebetween. Similarly, the posterior tab 902 is also fully deployed, with a similar space between the inner surface of the posterior tab 902 and an outer surface of the ventricular skirt. This allows the posterior leaflet and adjacent chordae tendineae to be captured therebetween. The commissure posts 908 are also visible and are disposed in the inner channel formed by the frame. The commissure posts are used to form the prosthetic mitral valve leaflets. The overall shape of the expanded frame is D-shaped, with the anterior portion flat and the posterior portion cylindrically shaped.

**[0084]** Fig. 10 illustrates the expanded frame covered with a cover 1002 such as pericardial tissue or a polymer such as ePTFE or a fabric like Dacron attached to the frame, thereby forming the prosthetic cardiac valve 1000. The atrial skirt may be entirely covered by a material, or in preferred embodiments, the covering is only disposed between adjacent struts 1012 in adjacent cells in the flanged portion of the atrial skirt. The area 1014 between adjacent struts within the same cell remain uncovered. This allows blood flow to remain substantially uninterrupted while the prosthetic valve is being implanted. Suture 1010 may be used to attach the cover to the frame. In this view, only the posterior tab 1006 is visible on the posterior portion of the prosthetic valve along with ventricular skirt 1008 and atrial skirt 1004.

**[0085] Leaflet Anchoring.**

**[0086]** The prosthetic valve is anchored to the native mitral valve using the atrial skirt, the annular region, and the ventricular skirt. The anterior and posterior tabs further anchor the prosthetic valve to the mitral valve by engaging the anterior and posterior leaflets. Because the valve leaflets are moving, engaging the leaflets can be challenging. In addition to the anchoring structures disclosed herein and their sequence of deployment, other aspects of prosthetic valve deployment may be controlled in order to successfully capture and hold the relevant anatomy of

the heart during deployment of the device. Some of these include a careful and meticulous design of specific geometries of the prosthetic valve frame achieved through the laser cutting process, specific geometries of the frame achieved through shape-setting of the frame, and the interaction of specific portions of the frame with a delivery system that has specialized components designed to interact with the frame in a controllable fashion.

**[0087]** Fig. 14 illustrates a prosthetic valve 1408 partially deployed in a mitral valve MV having an anterior leaflet AL and a posterior leaflet PL. The enlarged section of the figure highlights the tabs in the partially deployed state, and then also illustrates the tabs in the fully deployed state. The tab illustrated may be an anterior or posterior tab on the prosthetic valve. The delivery system 1402 has been transapically delivered over a guidewire GW to span the left ventricle LV and right atrium RA. As the delivery system outer sheath 1404 is retracted, the atrial skirt 1410 deploys as described along with the annular region 1412 and the ventricular skirt 1414. The outer sheath 1404 constrains a base portion of the anterior and posterior tabs 1406 thereby only permitting the tabs to partially expand radially outward after the atrial skirt, to a horizontal position or substantially horizontal position that is transverse to the longitudinal axis of the prosthesis. This creates a window 1416 between an edge of the atrial skirt 1410 and a tip of the tab 1406 which can receive the valve leaflet. Preferably, this window gap is as wide as possible in order to ensure that the valve leaflet enters the window. Once the outer sheath 1404 is fully retracted, the ventricular skirt 1414 fully deploys along with the tabs 1406. A base portion of the tab is released from the constraint of the outer sheath, and this allows the tab to further expand radially outward from its horizontal position or substantially horizontal position to a more vertical position. The more vertical position may be parallel or substantially parallel to the longitudinal axis of the prosthesis, and may still be transverse to the longitudinal axis of the prosthesis, but the angle therebetween is reduced relative to when the base portion of the tab is released. Thus the tip of the tab 1406 also moves closer to the edge of the atrial skirt 1410, thereby closing the window 1416 and helping to ensure that the valve leaflet will be engaged therein. It would therefore be desirable to control the window size during deployment to ensure maximum gap during deployment, and minimum gap after full deployment.

**[0088]** Figs.15A-15B illustrate release of a prosthetic valve from a delivery system and also how the configuration of the leaflet receiving window changes during various stages of deployment.

In Fig. 15A the outer sheath 1404 of the delivery system 1402 has been partially retracted away from the prosthetic valve such that the atrial skirt 1410 and annular region 1412 have already self-expanded. Similarly the ventricular skirt 1414 has partially self-expanded along with ventricular tab 1406. The ventricular tab 1406 may be an anterior tab or a posterior tab. The tip 1406a of the ventricular tab 1406 is unconstrained and self-expands radially outward to an almost horizontal position or a substantially horizontal position that is transverse to the longitudinal axis of the prosthesis while the base 1406b of the ventricular tab 1406 remains constrained under the tip 1404a of the outer sheath 1404. A commissure post 1420 couples the prosthetic valve with the delivery catheter because one end of the commissure post 1420 remains in receptacle 1422 on the delivery catheter and this is constrained by bell catheter 1418 which is disposed over the inner catheter 1424. Thus, in Fig. 15A, window 1416 is formed between the tip 1406a of tab 1406 and the edge 1410a of the atrial skirt 1410. The gap between the tip 1406a and edge 1410 is maximum in this position in order to allow receipt of the valve leaflet. The valve leaflet is then received in a leaflet receptacle formed by the inner surface of the atrial skirt 1410, an outer surface of the annular region 1412, an outer surface of the ventricular skirt 1414, and the inner surface of the ventricular tab 1406.

[0089] In Fig. 15B, the outer sheath 1404 has been further retracted thereby releasing the base 1406b of the ventricular tab 1406 from the outer sheath 1404 constraint, allowing the ventricular skirt 1414 and the ventricular tab 1406 to further self-expand radially outward. Thus the base 1406b self-expands outward and pivots or swings away from the delivery system. This results in tip 1406a of the ventricular tab 1406 rotating and translating so that it moves upward and closer to the edge 1410a of the atrial skirt 1410, thereby reducing the gap and at least partially closing window 1416. The tab also expands radially outward from its horizontal position or substantially horizontal position to a more vertical position that may be parallel or substantially parallel to the longitudinal axis of the prosthesis, and may still be transverse to the longitudinal axis of the prosthesis. The angle between the tab and the ventricular skirt is therefore reduced relative to when the base portion of the tab is released and the window preferably closes enough to so that the valve leaflet is engaged in the leaflet receptacle thereby anchoring the prosthetic valve to the leaflet. The commissure post 1420 remains coupled to the delivery system until the bell catheter is retracted later on as described elsewhere in this specification. While this

description only describes one ventricular tab, one of skill in the art will appreciate that the same disclosure may apply to all ventricular tabs in a prosthetic valve, for example the two anterior tabs and the one posterior tab described in embodiments herein.

[0090] Figs. 16A-16B are similar to Fig. 15A but provide landmarking information pertinent to the deployment of a prosthetic valve. Features have been relabeled for ease of discussion. The landmarks are used to aid in the description of the mechanical interactions taking place during the deployment of a prosthetic valve. While not being bound by any particular theory, the following variables and mechanisms of operation are believed to be relevant to the interaction and deployment of the prosthetic valve and they have been labeled as follows:

- A = Anchoring point of valve commissure in receptacle of delivery system
- B = Insertion point of commissure post into ventricular skirt
- C = Edge of atrial skirt
- D = Tip of ventricular tab
- E = Insertion point of ventricular skirt strut into ventricular tab
- F = Leading edge of outer sheath catheter
- G = Contact point of base of ventricular tab with bell catheter
- Z = Normal distance between points C and D
- $\beta$  = Angle between line AB and line BE
- $\alpha$  = Angle between line BE and line ED
- $\varphi_1$  = Outer diameter of outer sheath catheter
- $\varphi_2$  = Outer diameter of bell catheter

[0091] Figs. 17A-20B schematically illustrate a prosthetic valve and delivery system as well as various alternative embodiments for the purpose of exploring the interaction of various aspects of the prosthetic valve with respective features of the delivery system. These illustrations are intended to provide a simple schematic of all relevant structures of the stent, and further detail the inherent solid mechanical deformations present. The illustrations visually simplify the mechanism causing release and deployment of the prosthetic valve, and also provide a framework for describing alternative embodiments that control deployment through geometric and mechanical manipulations of the prosthetic valve and/or the delivery system.

**[0092]** Fig. 17A illustrates a prosthetic valve partially deployed from a delivery system. Thus, in Fig. 17A, the ventricular tab defined by ED extends horizontally or substantially horizontally as was previously described above. Fig. 17B illustrates the prosthetic valve after further deployment, but not complete release from the delivery system. The ventricular tab changes position so that it is now vertically oriented and parallel or substantially parallel to the longitudinal axis of the prosthesis as previously described above. Let points C and D lie within horizontal, parallel planes. Let the normal distance between points C and D be referenced as  $Z_1$ . In order to successfully receive and engage a native mitral valve leaflet during the deployment of a prosthetic valve,  $Z_1$  is preferably maximized. The reason for this is simple. The area bounded by points C, B, E, and D can be thought of as a window, receptacle or the space in which leaflet receipt and engagement occurs, and will become the space where the native leaflet will rest after deployment (area bounded by C, B, E, D in Fig. 17B. Thus, the larger the window ( $Z_1$ ), the greater the chance of catching a leaflet during deployment. As seen in Fig. 17B, the final post deployment configuration reveals  $Z_2$  being substantially smaller than  $Z_1$ , illustrating the latching or “grabbing” effect that the ventricular tabs (anterior tabs, or posterior tabs, or other tabs) have with respect to native mitral leaflets. Since a preferred embodiment would allow for the maximization of  $Z_1$ , techniques and methods that may be used to obtain maximum window size are described below.

**[0093]** As shown in Fig. 17A and with respect to the shape-setting of the prosthetic valve, there are at least three main attributes that can be manipulated in order to maximize  $Z_1$ . Let it be assumed that no changes will be made to the atrial side of the prosthetic valve, which includes any geometry above the point specified by B.

**[0094]** For the first attribute, modifications to the branch ED can be made. By gradually curving ED down and away from EB, point D is substantially lowered, and the distance  $Z_1$  becomes larger. The angle  $\alpha_1$  can also be increased by shape-setting the branch ED at a larger angle from EB, starting the bend at point E and allowing ED to rotate about point E.

**[0095]** The second attribute is the length of branch BE. All other branches remaining unchanged, if branch BE is made longer the tendency is to bear down on branch FED, rotating it about point F and increasing  $\alpha_1$ .

**[0096]** The third attribute is the shape of the branch EG, and its interaction with the point F. As the ventricular tab is released, the base (branch EG) is dragged along point F which represents the leading edge of the outer sheath catheter. By curving the branch EG down and away from branch EB, the ventricular tab is both delayed in its release (a very useful characteristic), and made to deploy at a larger  $\alpha_1$ . Reducing the length of branch EG while maintaining the length of branch GD also has a levering effect, which amplifies the angular displacement between branches EB and ED. In the schematic this is achieved by moving the attachment point (E) of the ventricular tab closer to point F. Thus, any angular displacement of EG about E will be amplified, and the angular displacement of branch ED ( $\alpha_1$ ) will increase. In practice, this effect can also be created by subtle manipulations to the geometry of specific portions of the delivery system, and these manipulations are described in greater detail below.

**[0097]** Figs. 18A-20B schematically illustrate various embodiments of prosthetic valves and delivery systems that have features which help to maximize window size  $Z_1$ . Let it again be assumed that no changes will be made to the atrial side of the prosthetic valve, which includes any geometry above the point specified by B. In these cases, all methods used to affect  $Z_1$  are brought about through interactions between the prosthetic valve and the delivery system, and not through manipulations to prosthetic valve geometry or shape-setting procedures. The atrial skirt or flange deploys first and anchors the prosthesis in the atrium and then the rest of the prosthesis is anchored to the mitral valve annulus and ventricle. The ventricular tab deploys similarly as described above; when first partially deployed it is horizontal or substantially horizontal and after the tab is released from the delivery system, the tab moves more vertically so that it is parallel or substantially parallel to the longitudinal axis of the prosthesis.

**[0098]** Fig. 18A illustrates a first embodiment utilizing the levering effect seen between branches EG and ED. By decreasing the horizontal distance between points G and F seen in Fig. 18B, angular displacement ( $\alpha_1$ ) is again increased. However, in this case the change is brought about by a reduction in the diameter of the outer sheath catheter 1404, which brings it closer to the bell catheter 1418 and thereby acts to shorten the branch FG. In this case the fulcrum is more

readily felt at the point F, as opposed to the point E when prosthetic valve modifications are employed. Fig. 18B schematically illustrates this embodiment and the resulting larger window  $Z_1$ .

**[0099]** Figs. 19A-19B illustrate a second embodiment for increasing window size  $Z_1$ . The second attribute makes use of a camming action that can be employed on the leading edge of the sheath catheter 1404. In Fig. 19A, a cammed inner surface 1902 is illustrated. This cammed inner surface 1902 may be an annular inner flange or other structure that interacts with the prescribed shape of the branch FG on the prosthetic valve, and acts as a translating cam for the purpose of precise control of a translating follower, embodied by the branch ED. Both the rate of angular displacement ( $\dot{\alpha}_1$ ), and angular displacement ( $\alpha_1$ ) can be controlled by the use of a camming action in this respect. Thus, the speed of the recoil of a ventricular tab observed during deployment can be more precisely controlled, although it is still heavily dependent on the spring stiffness of the material from which it is made. Fig. 19B illustrates engagement of the cam 1902 with the base of the ventricular tab during deployment which facilitates formation of wider window  $Z_1$  because the cam causes the tip of the ventricular tab to take a more horizontal position during deployment.

**[00100]** Figs. 20A-20B illustrate still another embodiment for increasing window size  $Z_1$ . The third attribute takes the form of a pushing mechanism such as a pusher element 2012 that interacts with the portion of the base of a ventricular tab between points G and F. By applying force directly upwards on the prosthetic valve at the location of G, the rotation of ED about point E can be influenced directly, in a controllable manner. Fig. 20B illustrates the pusher element 2012 pushing against the base of the ventricular tab thereby further opening the window  $Z_1$ .

**[00101]** Delivery System. Figs. 11A-11D illustrate an exemplary embodiment of a delivery system that may be used to deliver any of the prosthetic cardiac valves disclosed in this specification. Actuation of the delivery system allows the prosthetic cardiac valve to be deployed as described elsewhere in this specification. While the delivery system is designed to preferably deliver the prosthetic cardiac valve transapically, one of skill in the art will appreciate that it may also be modified so that the prosthetic valve may be delivered via a catheter

transluminally, such using a transseptal route. One of skill in the art will appreciate that using a transseptal route may require the relative motion of the various shafts to be modified in order to accommodate the position of the delivery system relative to the mitral valve.

**[00102]** Fig. 11A illustrates a perspective view of delivery system 1100. The delivery system 1100 includes a handle 1112 near a proximal end of the delivery system and a distal tissue penetrating tip 1110. Four elongate shafts are included in the delivery system and include an outer sheath catheter shaft 1102, a bell catheter shaft 1104 which is slidably disposed in the outer sheath catheter shaft 1102, a hub catheter shaft 1106 which remains stationary relative to the other shafts, but the bell catheter shaft slides relative to the hub shaft, and finally an inner guidewire catheter shaft 1108 which is also fixed relative to the other shafts and has a lumen sized to receive a guidewire which passes therethrough and exits the distal tissue penetrating tip. An actuator mechanism 1114 is used to control movement of the various shafts as will be explained in greater detail below, and flush lines 1116, 1118 with luer connectors are used to flush the annular regions between adjacent shafts. Flush line 1118 is used to flush the annular space between the outer sheath catheter shaft 1102 and the bell catheter shaft 1104. Flush line 1116 is used to flush the annular space between the bell catheter 1104 and the hub catheter 1106. The inner guidewire catheter shaft 1108 is stationary relative to the hub catheter 1106 therefore the annular space may be sealed with an o-ring or other material. Luer connector 1122 allows flushing of the guidewire lumen and a hemostatic valve such as a Tuohy-Borst may be coupled to the luer connector to allow a guidewire to be advanced through the guidewire catheter shaft while maintaining hemostasis. Screws 1120 keep the handle housing coupled together. Fig. 11B illustrates a sideview of the delivery system 1100.

**[00103]** Fig. 11C is a partial exploded view of the delivery system 1100 and more clearly illustrates the components in the handle 1112 and how they interact. The handle 1112 includes a housing having two halves 1112a, 1112b which hold all the components. The handle is preferably held together with screws 1120 and nuts 1120b, although it may also be sealed using other techniques such as a press fit, snap fit, adhesive bonding, ultrasonic welding, etc. Rotation of actuator wheel 1114 is translated into linear motion of threaded insert 1124. The outer sheath catheter shaft 1102 is coupled to the threaded insert 1124, therefore rotation of actuator wheel 1114 in one direction will advance the sheath catheter shaft 1102, and rotation in

the opposite direction will retract the sheath catheter shaft 1102. Further rotation of actuator wheel 1114 retracts threaded insert 1124 enough to bump into pins 1126 which are coupled to insert 1128, thereby also moving insert 1128. The bell catheter shaft 1106 is coupled to insert 1128, therefore further rotation of the actuator wheel 1114 will move the outer shaft 1102 and also move the bell catheter shaft 1106. Rotation of the actuator wheel in the opposite direction advances the sheath and threaded insert 1124 disengages from pins 1126. Spring 1130 returns insert 1128 to its unbiased position, thereby returning the bell catheter shaft to its unbiased position.

**[00104]** Any of the prosthetic cardiac valves disclosed herein may be carried by delivery system 1100. The atrial skirt, annular skirt, anterior tabs, posterior tab and ventricular skirt are loaded over the bell catheter shaft and disposed under the outer sheath catheter shaft 1102. The ventricular skirt is loaded proximally so that it is closest to the handle 1112 and the atrial skirt is loaded most distally so it is closest to the tip 1110. Therefore, retraction of outer sheath catheter shaft 1102 plays a significant part in controlling deployment of the prosthetic cardiac valve. The atrial skirt therefore expands first when the outer sheath catheter is retracted. The prosthetic valve commissures may be coupled with a hub 1106a on the distal portion of hub catheter 1106 and then the bell catheter shaft is disposed thereover, thereby releasably engaging the commissures with the delivery catheter. Once other portions of the prosthetic cardiac valve have expanded, the commissures may be released.

**[00105]** Fig. 11D highlights the distal portion of the delivery system 1100. Outer sheath catheter shaft 1102 advances and retracts relative to bell catheter shaft 1104 which is slidably disposed in the outer sheath catheter shaft 1102. Hub catheter shaft 1106 is shown slidably disposed in bell catheter shaft 1104 and with bell catheter shaft 1104 retracted so as to expose the hub 1106a having slots 1106b that hold the prosthetic valve commissures. Inner guidewire catheter shaft 1108 is the innermost shaft and has a tapered conical section 1130 which provides a smooth transition for the prosthetic valve and prevents unwanted bending or buckling of the prosthetic cardiac valve frame. Tissue penetrating tip 1110 is adapted to penetrate tissue, especially in a cardiac transapical procedure.

**[00106]** Delivery Method. A number of methods may be used to deliver a prosthetic cardiac valve to the heart. Exemplary methods of delivering a prosthetic mitral valve may

include a transluminal delivery route which may also be a transseptal technique which crosses the septum between the right and left sides of the heart, or in more preferred embodiments, a transapical route may be used such as illustrated in Figs. 12A-12L. The delivery device previously described above may be used to deliver any of the embodiments of prosthetic valves described herein, or other delivery devices and other prosthetic valves may also be used, such as those disclosed in US Patent Application No. 13/096,572, previously incorporated herein by reference. However, in this preferred exemplary embodiment, the prosthetic cardiac valve of Fig. 6 is used so that the anterior tabs deploy first, followed by the posterior tab, and then the ventricular skirt.

**[00107]** Fig. 12A illustrates the basic anatomy of the left side of a patient's heart including the left atrium LA and left ventricle LV. Pulmonary veins PV return blood from the lungs to the left atrium and the blood is then pumped from the left atrium into the left ventricle across the mitral valve MV. The mitral valve includes an anterior leaflet AL on an anterior side A of the valve and a posterior leaflet PL on a posterior side P of the valve. The leaflets are attached to chordae tendineae CT which are subsequently secured to the heart walls with papillary muscles PM. The blood is then pumped out of the left ventricle into the aorta Ao with the aortic valve AV preventing regurgitation.

**[00108]** Fig. 12B illustrates transapical delivery of a delivery system 1202 through the apex of the heart into the left atrium LA. The delivery system 1202 may be advanced over a guidewire GW into the left atrium, and a tissue penetrating tip 1204 helps the delivery system pass through the apex of the heart by dilating the tissue and forming a larger channel for the remainder of the delivery system to pass through. The delivery catheter carries prosthetic cardiac valve 1208. Once the distal portion of the delivery system has been advanced into the left atrium, the outer sheath 1206 may be retracted proximally (e.g. toward the operator) thereby removing the constraint from the atrial portion of the prosthetic valve 1208. This allows the atrial skirt 1210 to self-expand radially outward first. In Fig. 12C, as the outer sheath is further retracted, the atrial skirt continues to self-expand and peek out, until it fully deploys as seen in Fig. 12D. The atrial skirt may have a cylindrical shape or it may be D-shaped as discussed above with a flat anterior portion and a cylindrical posterior portion so as to avoid interfering with the aortic valve and other aspects of the left ventricular outflow tract. The prosthetic cardiac valve

may be advanced upstream or downstream to properly position the atrial skirt. In preferred embodiments, the atrial skirt forms a flange that rests against a superior surface of the mitral valve and this anchors the prosthetic valve and prevents it from unwanted movement downstream into the left ventricle. Anchoring the prosthesis in the atrium first is unexpected, since anchoring the prosthesis to the moving valve leaflets is challenging and typically would be performed first, followed by atrial anchoring which may be easier. However, atrial anchoring first can help seat the prosthesis more securely. Of course, one of skill in the art recognizes that the prosthesis may be deployed in any desired order based on the delivery system used, as well as the design of the prosthesis itself. Thus the current prosthetic valve may anchor itself differently than previous prosthetic valves. Previous prosthetic valves may be anchored passively in that they may be delivered by unsheathing from a delivery system and then pulled into place behind the leaflets followed by atrial anchoring. For this reason the leaflet anchors need to be deployed first, followed by the atrial anchors which are easier to deploy due to the relatively flat atrial floor. In the present embodiment, active anchoring is utilized because the anchors change position and orientation during the deployment sequence to capture the ventricular structures, and thereby permit the use of a reverse anchoring sequence from previous prosthetic valves.

**[00109]** As the outer sheath 1206 continues to be proximally retracted, the annular region of the prosthetic cardiac valve self-expands next into engagement with the valve annulus. The annular region also preferably has the D-shaped geometry, although it may also be cylindrical or have other geometries to match the native anatomy. In Fig. 12E, retraction of sheath 1206 eventually allows both the anterior 1212 and posterior 1214 tabs to partially self-expand outward preferably without engaging the anterior or posterior leaflets or the chordae tendineae. The tabs initially expand outwardly into a horizontal or substantially horizontal position that is transverse to the longitudinal axis of the prosthesis. In this embodiment, further retraction of the outer sheath 1206 then allows both the anterior tabs 1212 (only one visible in this view) to complete their self-expansion so that the anterior leaflet is captured between an inner surface of each of the anterior tabs and an outer surface of the ventricular skirt 1216, as illustrated in Fig. 12F. The anterior tabs expand into a more vertical position that is parallel to or substantially parallel to the longitudinal axis of the prosthesis. The tabs may still be transverse to

the longitudinal axis of the prosthesis. The posterior tab 1214 remains partially open, but has not completed its expansion yet. Additionally, the tips of the anterior tabs also anchor into the left and right fibrous trigones of the mitral valve, as will be illustrated in greater detail below.

**[00110]** In Fig. 12G, further retraction of the outer sheath 1206 then releases the constraints from the posterior tab 1214 allowing it to complete its self-expansion, thereby capturing the posterior leaflet PL between an inner surface of the posterior tab 1214 and an outer surface of the ventricular skirt 1218. Thus the posterior tab moves from the horizontal position or substantially horizontal position to a more vertical position that is parallel or substantially parallel to the longitudinal axis of the prosthesis. In Fig. 12H, the sheath is retracted further releasing the ventricular skirt 1220 and allowing the ventricular skirt 1220 to radially expand outward, further capturing the anterior and posterior leaflets between the outer surface of the ventricular skirt and their respective anterior or posterior tabs. Expansion of the ventricular skirt also pushes the anterior and posterior leaflets outward, thereby ensuring that the native leaflets do not interfere with any portion of the prosthetic valve or the prosthetic valve leaflets. The prosthetic valve is now anchored in position above the mitral valve, along the annulus, to the valve leaflets, and below the mitral valve, thereby securing it in position.

**[00111]** Further actuation of the delivery device now retracts the outer sheath 1206 and the bell catheter shaft 1222 so as to remove the constraint from the hub catheter 1224, as illustrated in Fig. 12I. This permits the prosthetic valve commissures 1226 to be released from the hub catheter, thus the commissures expand to their biased configuration. The delivery system 1202 and guidewire GW are then removed, leaving the prosthetic valve 1208 in position where it takes over for the native mitral valve, as seen in Fig. 12J.

**[00112]** Figs. 12K and 12L highlight engagement of the anterior and posterior tabs with the respective anterior and posterior leaflets. In Fig. 12K, after anterior tabs 1212 have been fully expanded, they capture the anterior leaflet AL and adjacent chordae tendineae between an inside surface of the anterior tab and an outer surface of the ventricular skirt 1220. Moreover, the tips 1228 of the anterior tabs 1212 are engaged with the fibrous trigones FT of the anterior side of the mitral valve. The fibrous trigones are fibrous regions of the valve thus the anterior tabs further anchor the prosthetic valve into the native mitral valve anatomy. One anterior tab anchors into the left fibrous trigone, and the other anterior tabs anchors into the right

fibrous trigone. The trigones are on opposite sides of the anterior side of the leaflet. Fig. 12L illustrates engagement of the posterior tab 1214 with the posterior leaflet PL which is captured between an inner surface of the posterior tab and an outer surface of the ventricular skirt 1220. Additionally, adjacent chordae tendineae are also captured between the posterior tab and ventricular skirt.

**[00113]** Figs. 13A-13L illustrate another exemplary embodiment of a delivery method. This embodiment is similar to that previously described, with the major difference being the order in which the prosthetic cardiac valve self-expands into engagement with the mitral valve. Any delivery device or any prosthetic cardiac valve disclosed herein may be used, however in preferred embodiments, the embodiment of Fig. 7 is used. Varying the order may allow better positioning of the implant, easier capturing of the valve leaflets, and better anchoring of the implant. This exemplary method also preferably uses a transapical route, although transseptal may also be used.

**[00114]** Fig. 13A illustrates the basic anatomy of the left side of a patient's heart including the left atrium LA and left ventricle LV. Pulmonary veins PV return blood from the lungs to the left atrium and the blood is then pumped from the left atrium into the left ventricle across the mitral valve MV. The mitral valve includes an anterior leaflet AL on an anterior side A of the valve and a posterior leaflet PL on a posterior side P of the valve. The leaflets are attached to chordae tendineae CT which are subsequently secured to the heart walls with papillary muscles PM. The blood is then pumped out of the left ventricle into the aorta AO with the aortic valve AV preventing regurgitation of blood from the aorta back into the left ventricle.

**[00115]** Fig. 13B illustrates transapical delivery of a delivery system 1302 through the apex of the heart into the left atrium LA. The delivery system 1302 may be advanced over a guidewire GW into the left atrium, and a tissue penetrating tip 1304 helps the delivery system pass through the apex of the heart by dilating the tissue and forming a larger channel for the remainder of the delivery system to pass through. The delivery catheter carries prosthetic cardiac valve 1308. Once the distal portion of the delivery system has been advanced into the left atrium, the outer sheath 1306 may be retracted proximally (e.g. toward the operator) thereby removing the constraint from the atrial portion of the prosthetic valve 1308. This allows the atrial skirt 1310 to self-expand radially outward. In Fig. 13C, as the outer sheath is further

retracted, the atrial skirt continues to self-expand and peek out, until it fully deploys as seen in Fig. 13D. The atrial skirt may have a cylindrical shape or it may be D-shaped as discussed above with a flat anterior portion and a cylindrical posterior portion so as to avoid interfering with the aortic valve and other aspects of the left ventricular outflow tract. The prosthetic cardiac valve may be advanced upstream or downstream to properly position the atrial skirt. In preferred embodiments, the atrial skirt forms a flange that rests against a superior surface of the mitral valve and this anchors the prosthetic valve and prevents it from unwanted movement downstream into the left ventricle. Thus, as previously described, anchoring the prosthesis to the atrium first is unexpected and facilitates anchoring of the prosthesis.

**[00116]** As the outer sheath 1306 continues to be proximally retracted, the annular region of the prosthetic cardiac valve self-expands next into engagement with the valve annulus. The annular region also preferably has the D-shaped geometry, although it may also be cylindrical or have other geometries to match the native anatomy. In Fig. 13E, retraction of sheath 1306 eventually allows both the anterior 1312 and posterior 1314 tabs to partially self-expand outward preferably without engaging the anterior or posterior leaflets or the chordae tendineae. The tabs have similar horizontal or substantially horizontal positions as previously described in the previous embodiment. In this embodiment, further retraction of the outer sheath 1306 then allows both the anterior tabs 1312 (only one visible in this view) to complete their self-expansion so that the anterior leaflet is captured between an inner surface of each of the anterior tabs and an outer surface of the ventricular skirt 1316, as illustrated in Fig. 13F. Thus, the tabs will have a more vertical position that is parallel or substantially parallel to the prosthesis as previously described. The posterior tab 1214 remains partially open and has a position generally the same as previously described, but has not completed its expansion yet. Additionally, the tips of the anterior tabs also anchor into the left and right fibrous trigones of the mitral valve, as will be illustrated in greater detail below.

**[00117]** In Fig. 13G, further retraction of the outer sheath 1306 then releases the constraint from the ventricular skirt 1320 allowing the ventricular skirt to radially expand. This then further captures the anterior leaflets AL between the anterior tab 1312 and the ventricular skirt 1316. Expansion of the ventricular skirt also pushes the anterior and posterior leaflets outward, thereby ensuring that the native leaflets do not interfere with any portion of the

prosthetic valve or the prosthetic valve leaflets. Further retraction of sheath 1306 as illustrated in Fig. 13H releases the constraint from the posterior tab 1314 allowing it to complete its self-expansion, thereby capturing the posterior leaflet PL between an inner surface of the posterior tab 1314 and an outer surface of the ventricular skirt 1318. The posterior tab then takes a more vertical position similar to that previously described above. The prosthetic valve is now anchored in position above the mitral valve, along the annulus, to the valve leaflets, and below the mitral valve, thereby securing it in position.

**[00118]** Further actuation of the delivery device now retracts the outer sheath 1306 and the bell catheter shaft 1322 so as to remove the constraint from the hub catheter 1324, as illustrated in Fig. 13I. This permits the prosthetic valve commissures 1326 to be released from the hub catheter, thus the commissures expand to their biased configuration. The delivery system 1302 and guidewire GW are then removed, leaving the prosthetic valve 1308 in position where it takes over for the native mitral valve, as seen in Fig. 13J.

**[00119]** Figs. 13K and 13L highlight engagement of the anterior and posterior tabs with the respective anterior and posterior leaflet. In Fig. 13K, after anterior tabs 1312 have been fully expanded, they capture the anterior leaflet AL and adjacent chordae tendineae between an inside surface of the anterior tab and an outer surface of the ventricular skirt 1320. Moreover, the tips 1328 of the anterior tabs 1312 are engaged with the fibrous trigones FT of the anterior side of the mitral valve. The fibrous trigones are fibrous regions of the valve thus the anterior tabs further anchor the prosthetic valve into the native mitral valve anatomy. One anterior tab anchors into the left fibrous trigone, and the other anterior tab anchors into the right fibrous trigone. The trigones are on opposite sides of the anterior side of the leaflet. Fig. 13L illustrates engagement of the posterior tab 1314 with the posterior leaflet PL which is captured between an inner surface of the posterior tab and an outer surface of the ventricular skirt 1320. Additionally, adjacent chordae tendineae are also captured between the posterior tab and ventricular skirt.

**[00120]** While preferred embodiments of the present invention have been shown and described herein, it will be obvious to those skilled in the art that such embodiments are provided by way of example only. Numerous variations, changes, and substitutions will now occur to those skilled in the art without departing from the invention. It should be understood that various alternatives to the embodiments of the invention described herein may be employed in practicing

the invention. It is intended that the following claims define the scope of the invention and that methods and structures within the scope of these claims and their equivalents be covered thereby.

## CLAIMS

1. A prosthetic valve comprising:

a self-expanding frame having a superior end, an inferior end, and a midsection therebetween, wherein the frame has an expanded configuration and a collapsed configuration, the collapsed configuration adapted to be delivered to a patient's heart, and the expanded configuration adapted to anchor the self-expanding frame in the patient's heart, wherein the frame comprises:

a self-expanding atrial skirt adjacent the superior end, wherein the atrial skirt forms a flanged region after self-expansion thereof, the flanged region configured to anchor the self-expanding frame to an atrial surface of the heart, and wherein the flanged region comprises an edge of the flange;

a self-expanding ventricular skirt adjacent the inferior end, wherein the ventricular skirt anchors the self-expanding frame to a ventricular surface of the heart after self-expansion thereof; and

a first self-expanding tab adjacent the inferior end and coupled with the ventricular skirt, the first self-expanding tab having tip,

wherein the first self-expanding tab radially self-expands when a constraint is removed therefrom, and

wherein a receptacle is formed by an area bounded by an outer surface of the atrial skirt, an outer surface of the ventricular skirt, and an inner surface of the first tab, and

wherein a window is defined by a gap between the edge of the flange and the tip of the first tab, and

wherein the gap is maximized when the tip of the first tab is unconstrained and a base of the first tab is at least partially constrained, and

wherein the gap is minimized when tip of the first tab is unconstrained and the base of the first tab is also unconstrained.

2. The prosthetic valve of claim 1, wherein when the gap is minimized, the receptacle is adapted to engage a valve leaflet and anchor the prosthetic valve thereto.

3. The prosthetic valve of claim 1, wherein the tip of the first tab moves toward the edge of the flange when the base of the first tab is released from a constraint.

4. The prosthetic valve of claim 1, wherein angle  $\alpha$  is defined by an inner surface of the first tab and an outer surface of the ventricular skirt, and wherein  $\alpha$  decreases when the base of the first tab is released from a constraint and the tip of the first tab is unconstrained.
5. The prosthetic valve of claim 1, wherein angle  $\alpha$  is defined by an inner surface of the first tab and an outer surface of the ventricular skirt, and wherein  $\alpha$  is maximized when the tip of the first tab is unconstrained and the base of the first tab is at least partially constrained.
6. The prosthesis of claim 1, further comprising a commissure post coupled with the self-expanding frame and having an end extending radially inward, and wherein an angle  $\beta$  is defined by an outer surface of the commissure post and an inner surface of the ventricular skirt, and wherein  $\beta$  is minimized when the base of the first tab is at least partially constrained and the tip of the first tab is unconstrained.
7. The prosthesis of claim 1, further comprising a commissure post coupled with the self-expanding frame and having an end extending radially inward, and wherein an angle  $\beta$  is defined by an outer surface of the commissure post and an inner surface of the ventricular skirt, and wherein  $\beta$  is maximized when the base of the first tab is unconstrained and the tip of the first tab is unconstrained.
8. The prosthesis of claim 1, wherein the tip of the tab is adapted to engage a fibrous trigone.
9. The prosthesis of claim 1, wherein the tab is adapted to engage an anterior or a posterior mitral valve leaflet.
10. The prosthesis of claim 1, wherein the first tab expands to a position transverse to a longitudinal axis of the prosthesis followed by expansion to a position substantially parallel to the longitudinal axis of the prosthesis.
11. A method for anchoring a prosthetic valve to a cardiac valve having a valve leaflet, said method comprising:
  - providing a delivery system having an outer sheath;
  - providing a prosthetic valve, wherein the prosthetic valve is carried by the delivery system, and wherein the prosthetic valve comprises an atrial skirt, a ventricular skirt and a first tab coupled to the ventricular skirt, and

wherein an outer surface of the atrial skirt, an outer surface of the ventricular skirt, and an inner surface of the first tab forms a leaflet receptacle, the leaflet receptacle having a window for receiving the valve leaflet defined by a gap between an edge of the atrial skirt and a tip of the first tab;

positioning the prosthetic valve adjacent the cardiac valve;

self-expanding the atrial skirt into engagement with an atrial surface of the cardiac valve;

self-expanding the ventricular skirt into engagement with a ventricular surface of the cardiac valve;

removing a constraint from a portion of the first tab thereby allowing a tip of the first tab to expand radially outward;

receiving the valve leaflet through the window and into the leaflet receptacle; and

at least partially closing the window thereby engaging the valve leaflet with the leaflet receptacle and anchoring the prosthetic valve to the valve leaflet.

12. The method of claim 1111, wherein positioning the prosthetic valve adjacent the cardiac valve comprises transapically delivering the prosthetic valve to the cardiac valve.

13. The method of claim 11, wherein removing a constraint from a portion of the first tab comprises retracting the outer sheath therefrom.

14. The method of claim 11, wherein at least partially closing the window comprises further retracting the outer sheath to remove a constraint from a base of the first tab thereby allowing the base to radially expand outward and such that the tip of the first tab moves toward the edge of the atrial skirt.

15. The method of claim 11, wherein the valve leaflet comprises an anterior mitral valve leaflet, the method further comprising engaging the tip of the first tab with a fibrous trigone of the mitral valve.

16. The method of claim 11, wherein the first tab expands to a position transverse to a longitudinal axis of the prosthetic valve followed by expansion to a position substantially parallel to the longitudinal axis of the prosthetic valve.

17. A system for deploying a prosthetic valve, said system comprising:

a prosthetic cardiac valve comprising an atrial skirt, a ventricular skirt, and a tab coupled to the ventricular skirt; and

a delivery system comprising an outer sheath, wherein the prosthetic cardiac valve is carried by the delivery system, and wherein the outer sheath comprises a cam on the outer sheath adjacent a distal end thereof,

wherein partial retraction of the outer sheath releases a constraint from the atrial skirt and the ventricular skirt thereby allowing self-expansion thereof, and

wherein further retraction of the outer sheath releases a constraint from the tab thereby allowing a tip of the tab to radially self-expand outward forming a window between an edge of the atrial skirt and the tip of the tab while the cam remains engaged with a base portion of the tab such that the tip self-expands to open the window to its maximum size, and

wherein further retraction of the outer sheath disengages the cam from the base portion of the tab thereby releasing a constraint therefrom such that the base of the tab radially expands outward and the tip of the tab moves toward the edge of the atrial skirt, at least partially closing the window.

18. A method for anchoring a prosthetic valve to a cardiac valve having a valve leaflet, said method comprising:

providing a prosthetic cardiac valve, the cardiac valve comprising an atrial skirt, a ventricular skirt, and a tab coupled to the ventricular skirt;

providing a delivery system with an outer sheath, the outer sheath having a cam adjacent a distal end thereof, and wherein the prosthetic cardiac valve is carried by the delivery system;

self-expanding the atrial skirt and the ventricular skirt;

self-expanding the tab such that a tip of the tab expands radially outward and whereby a window is formed between an edge of the atrial skirt and the tip of the tab;

opening the window to its maximum size;

receiving the valve leaflet in the window;

self-expanding the base portion radially outward; and

at least partially closing the window, wherein the tip of the tab moves toward the edge of the atrial skirt.

19. A system for deploying a prosthetic valve, said system comprising:

a prosthetic cardiac valve comprising an atrial skirt, a ventricular skirt, and a tab coupled to the ventricular skirt; and

a delivery system comprising an outer sheath and pusher element, wherein the prosthetic cardiac valve is carried by the delivery system and the pusher element is slidably disposed under the outer sheath,

wherein partial retraction of the outer sheath releases a constraint from the atrial skirt and the ventricular skirt thereby allowing self-expansion thereof, and

wherein further retraction of the outer sheath releases a constraint from the tab thereby allowing a tip of the tab to radially self-expand outward forming a window between an edge of the atrial skirt and the tip of the tab, and

wherein a base portion of the tab remains constrained by the outer sheath and actuation of the pusher element into engagement with the base portion actuates the tip of the tab to open the window to its maximum size, and

wherein further retraction of the outer sheath or further actuation of the pusher element removes the constraint from the base portion of the tab, thereby at least partially closing the window.

20. A method for anchoring a prosthetic valve to a cardiac valve having a valve leaflet, said method comprising:

providing a prosthetic cardiac valve, the cardiac valve comprising an atrial skirt, a ventricular skirt, and a tab coupled to the ventricular skirt;

providing a delivery system, the delivery system comprising an outer sheath and a pusher element, wherein the cardiac valve is carried by the delivery system and the pusher element is slidably disposed under the outer sheath;

self-expanding the atrial skirt into engagement with an atrial surface of the cardiac valve;

self-expanding the ventricular skirt into engagement with a ventricular surface of the cardiac valve;

self-expanding the tab such that a tip of the tab expands radially outward to form a window between an edge of the atrial skirt and the tip of the tab;

while a base portion of the tab remains constrained by the outer sheath, opening the window to its maximum size;

receiving a valve leaflet into the window; and

closing the window.

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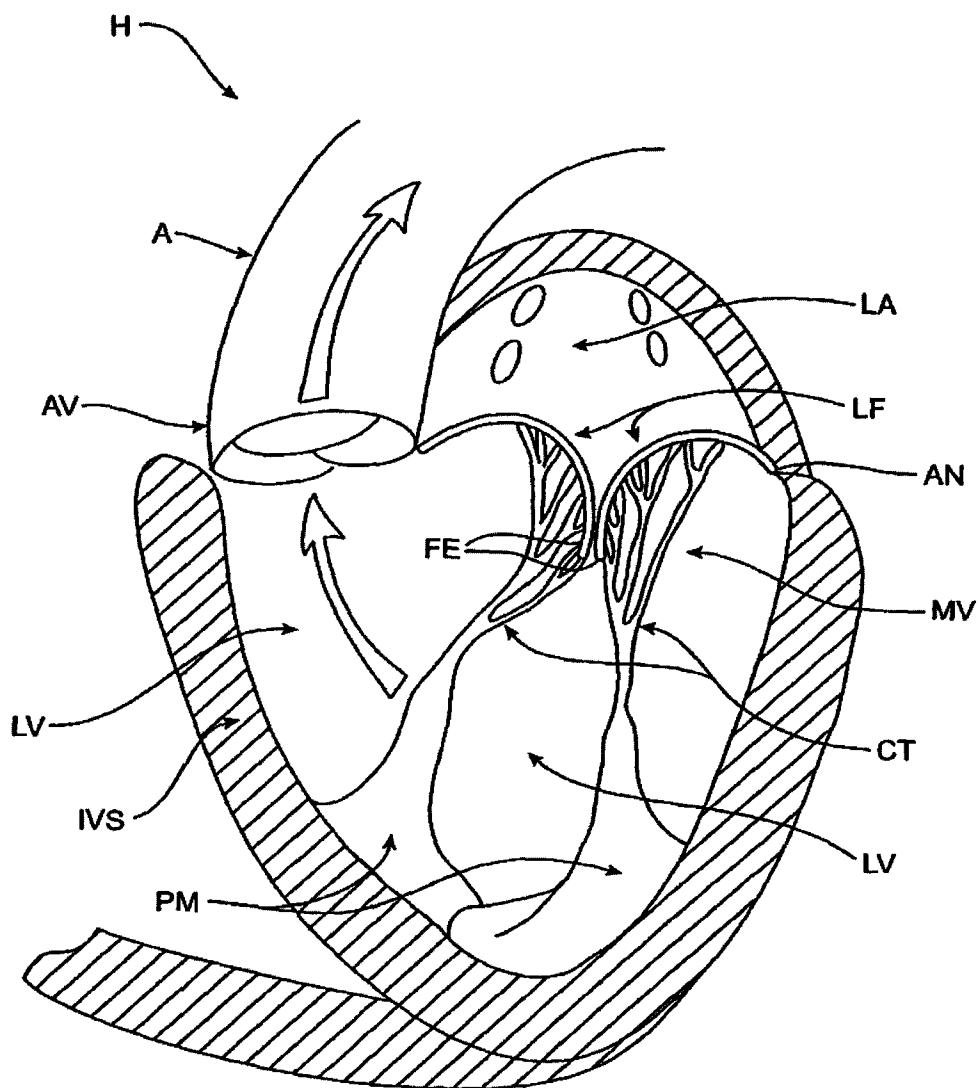


FIG. 1

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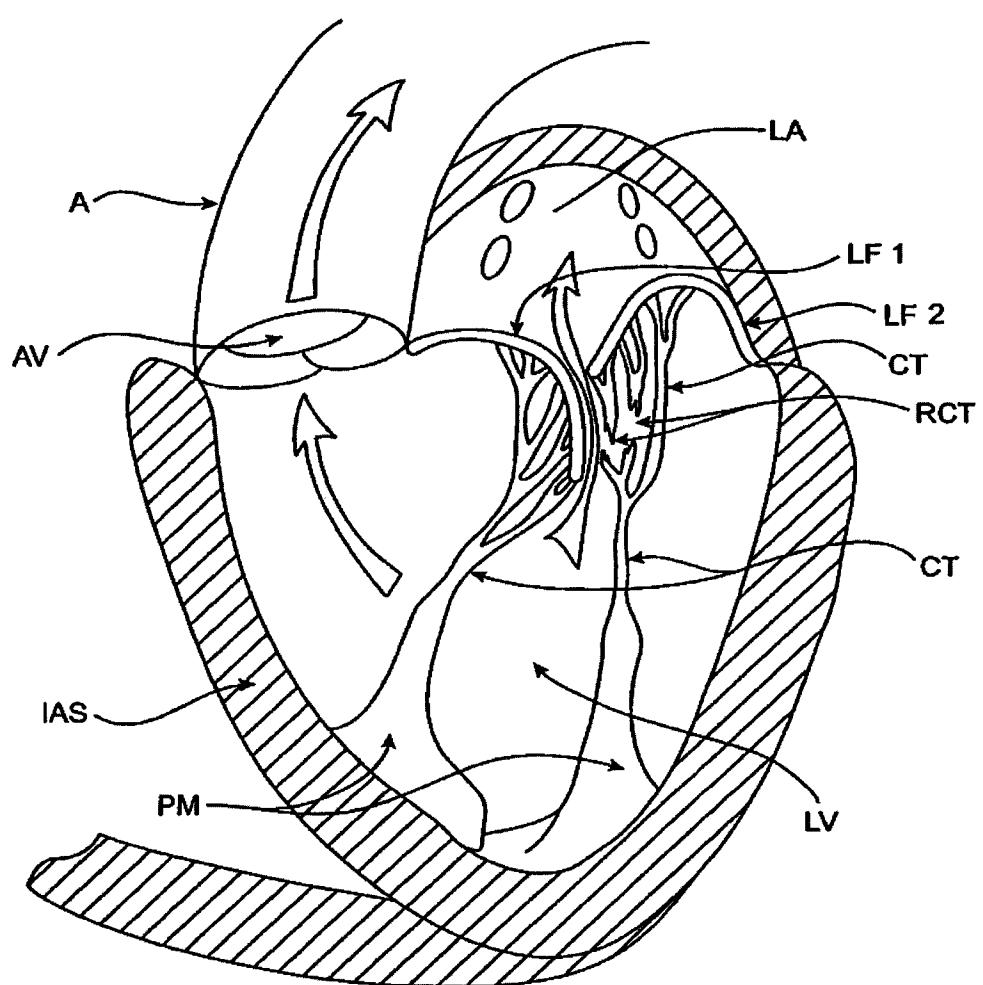


FIG. 2

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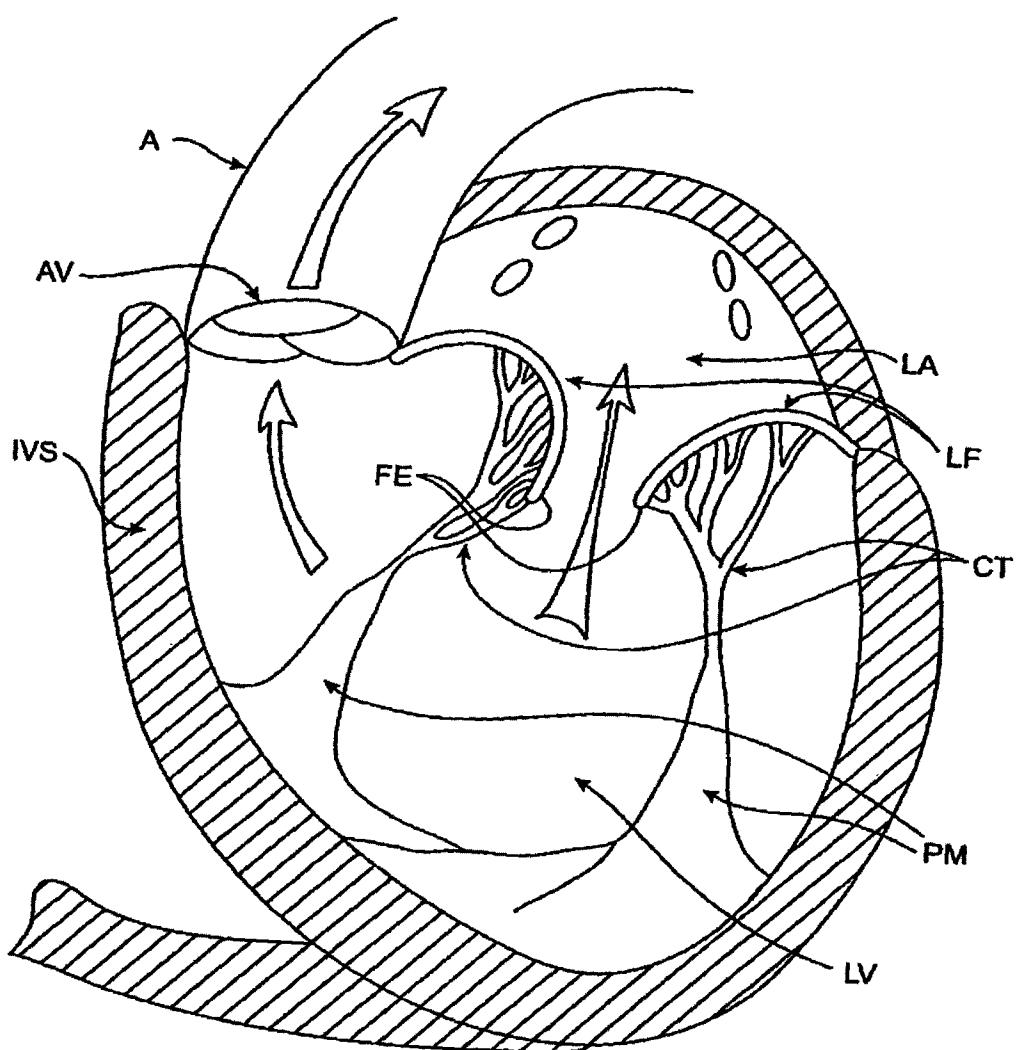


FIG. 3

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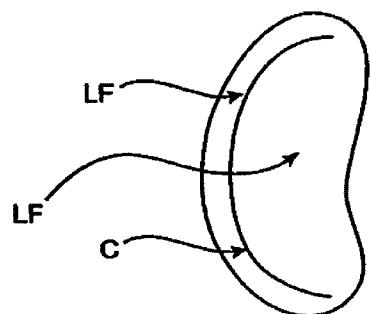


FIG. 3A

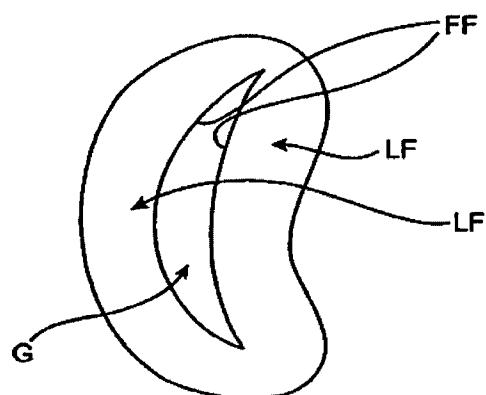


FIG. 3B

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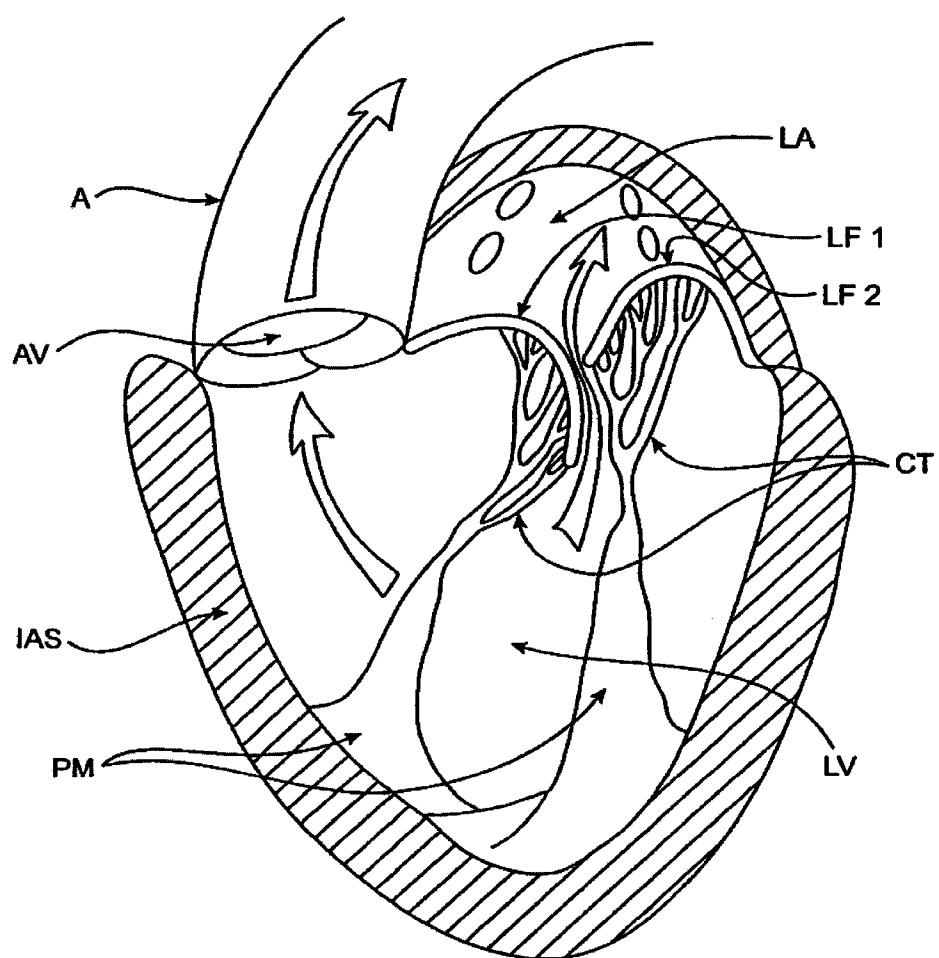


FIG. 4

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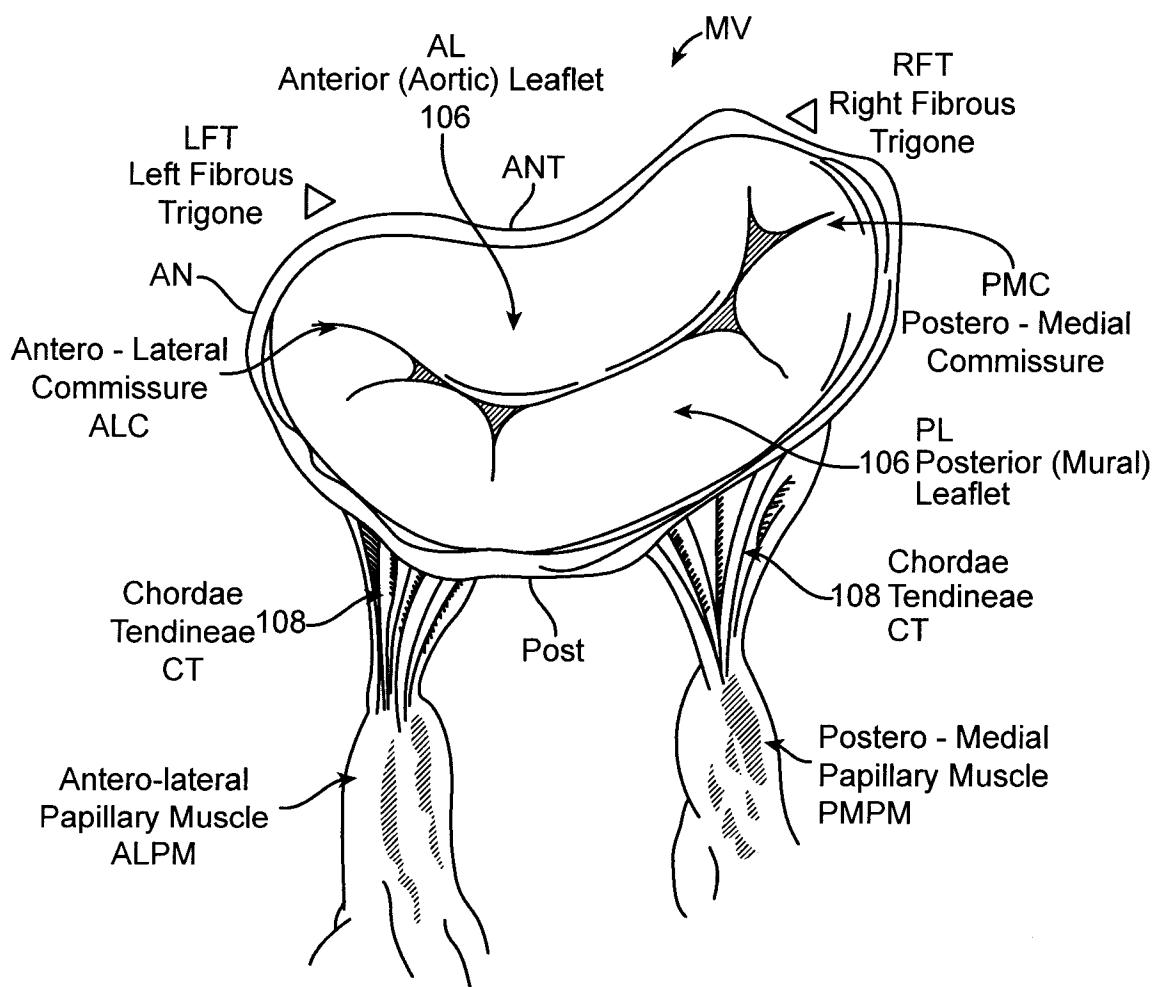


FIG. 5A

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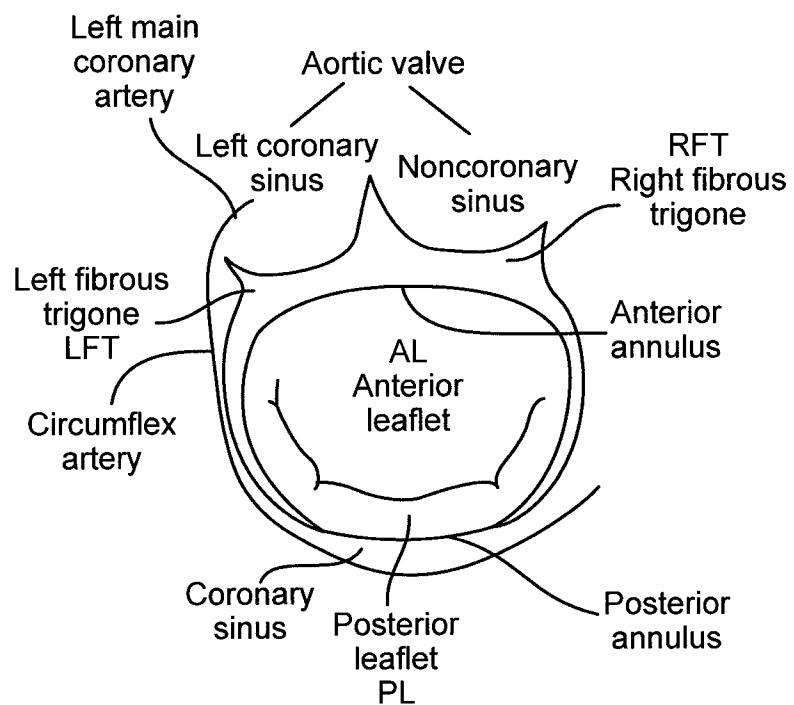


FIG. 5B

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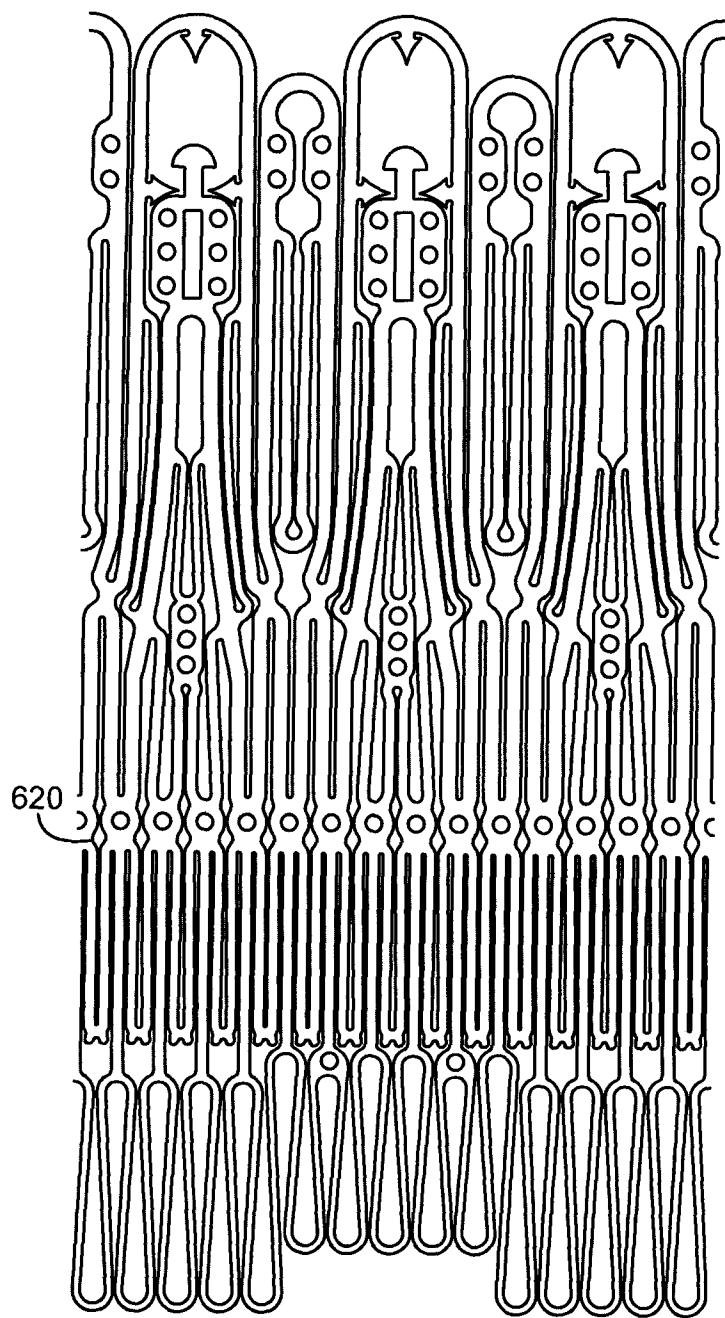


FIG. 6

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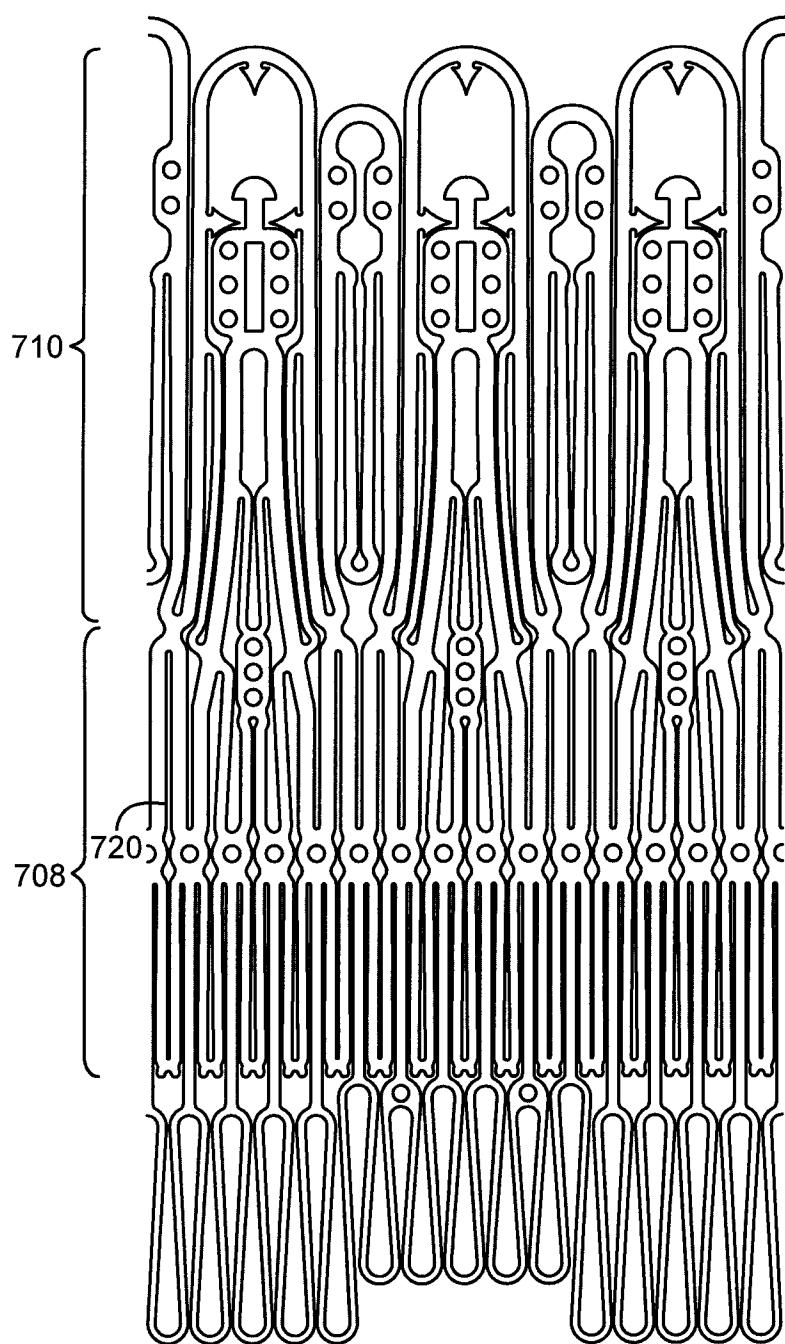


FIG. 7

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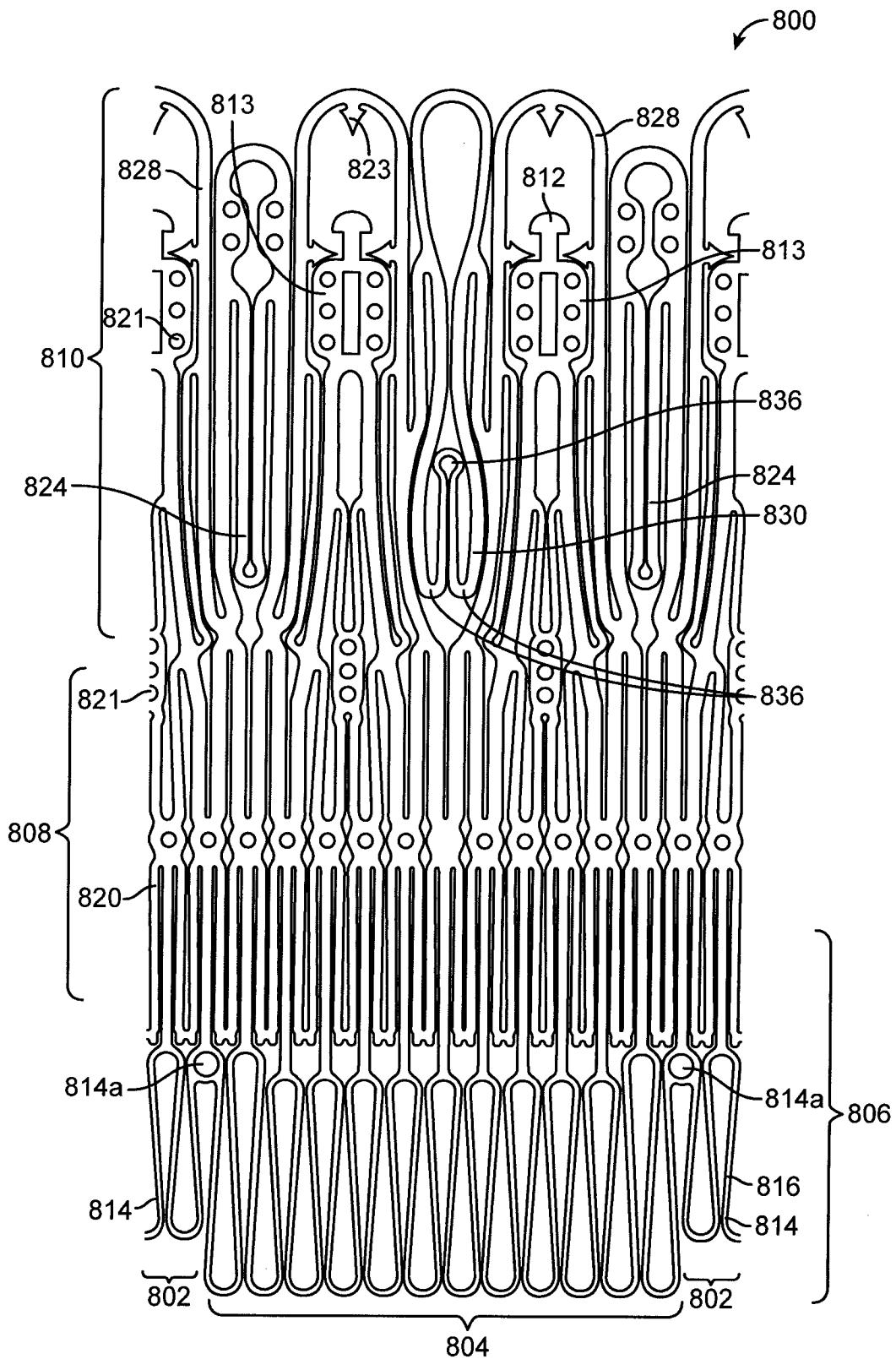


FIG. 8

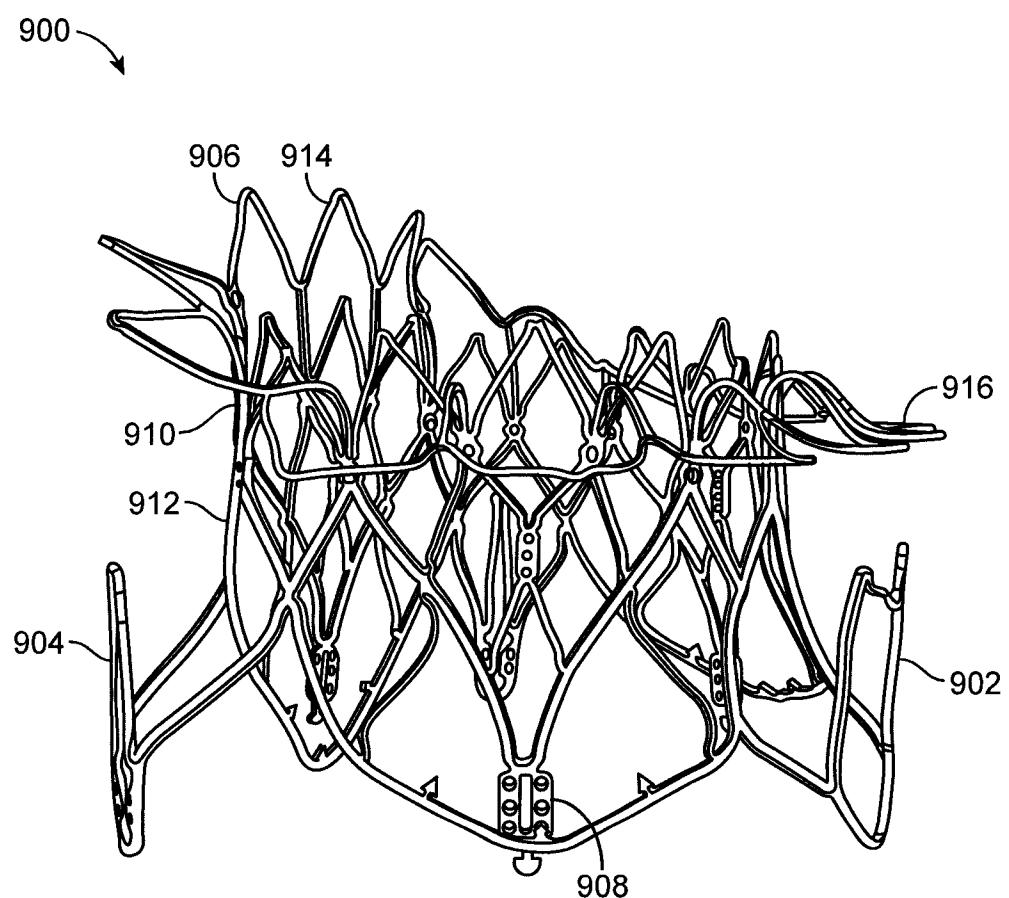


FIG. 9A

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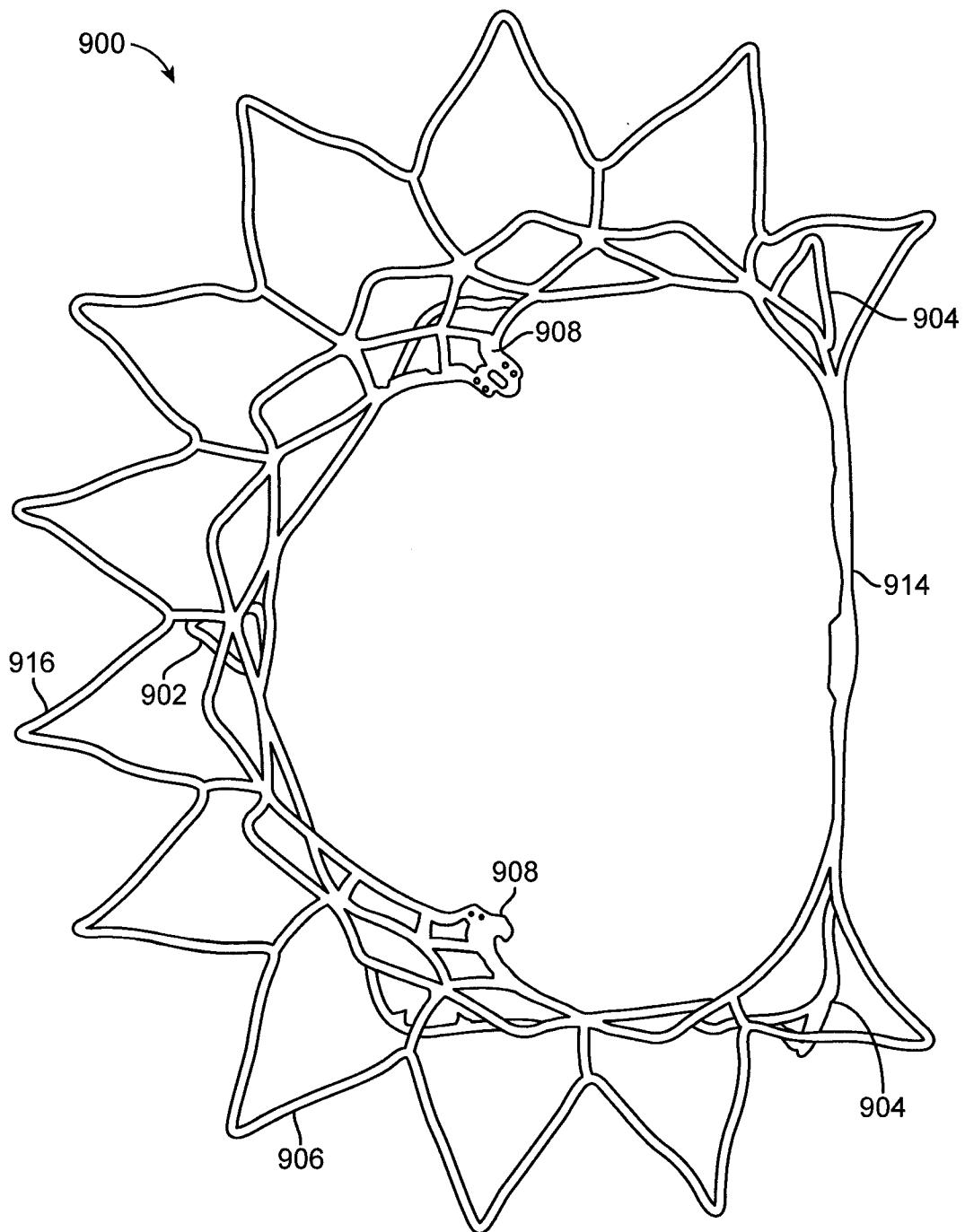


FIG. 9B

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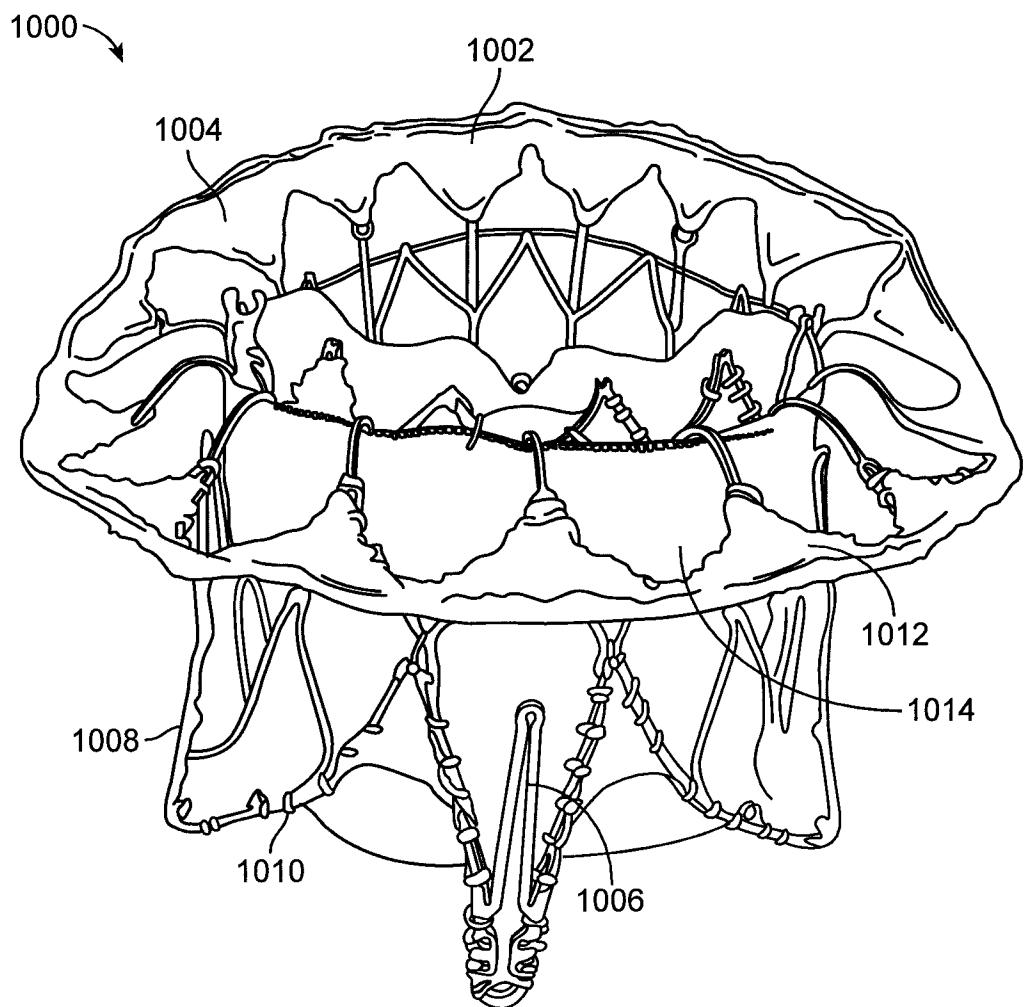
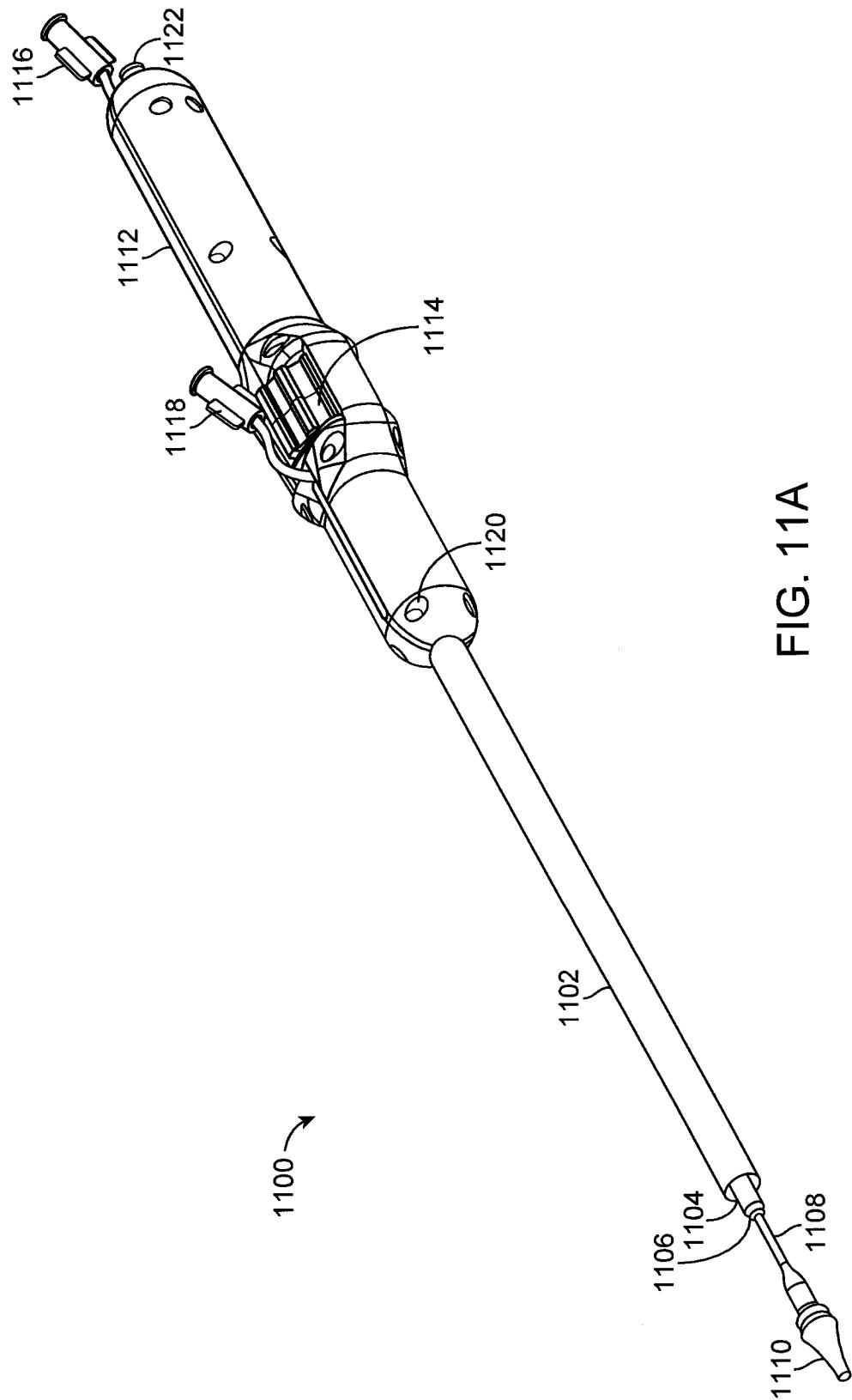


FIG. 10

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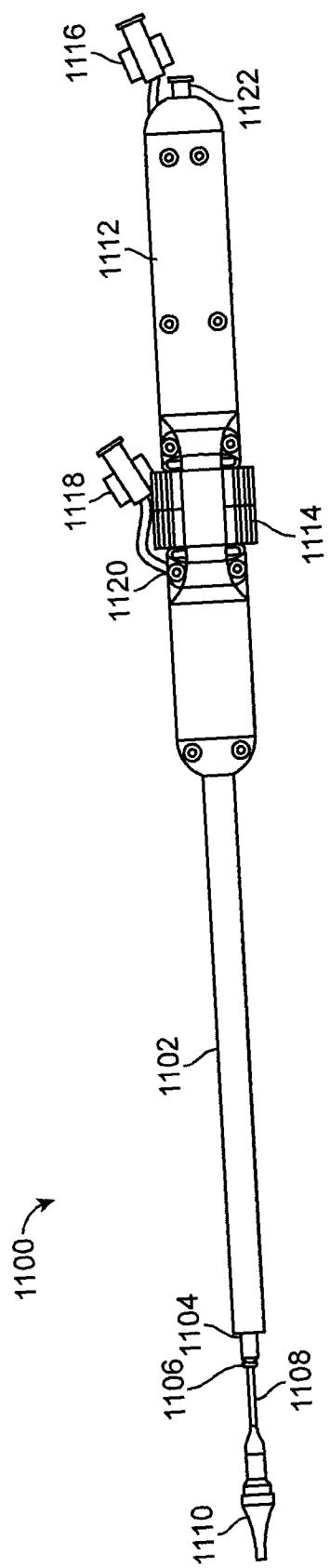
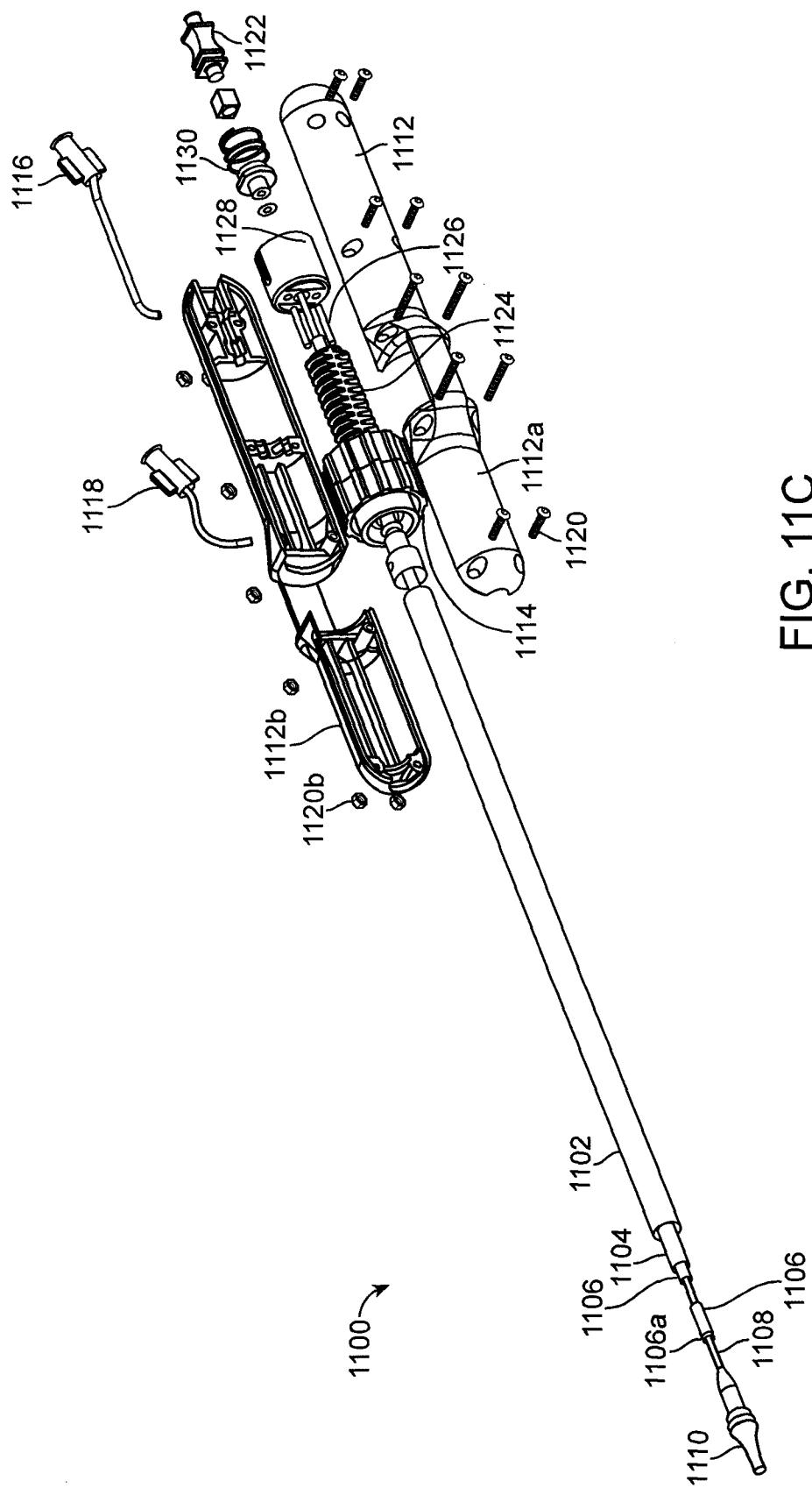


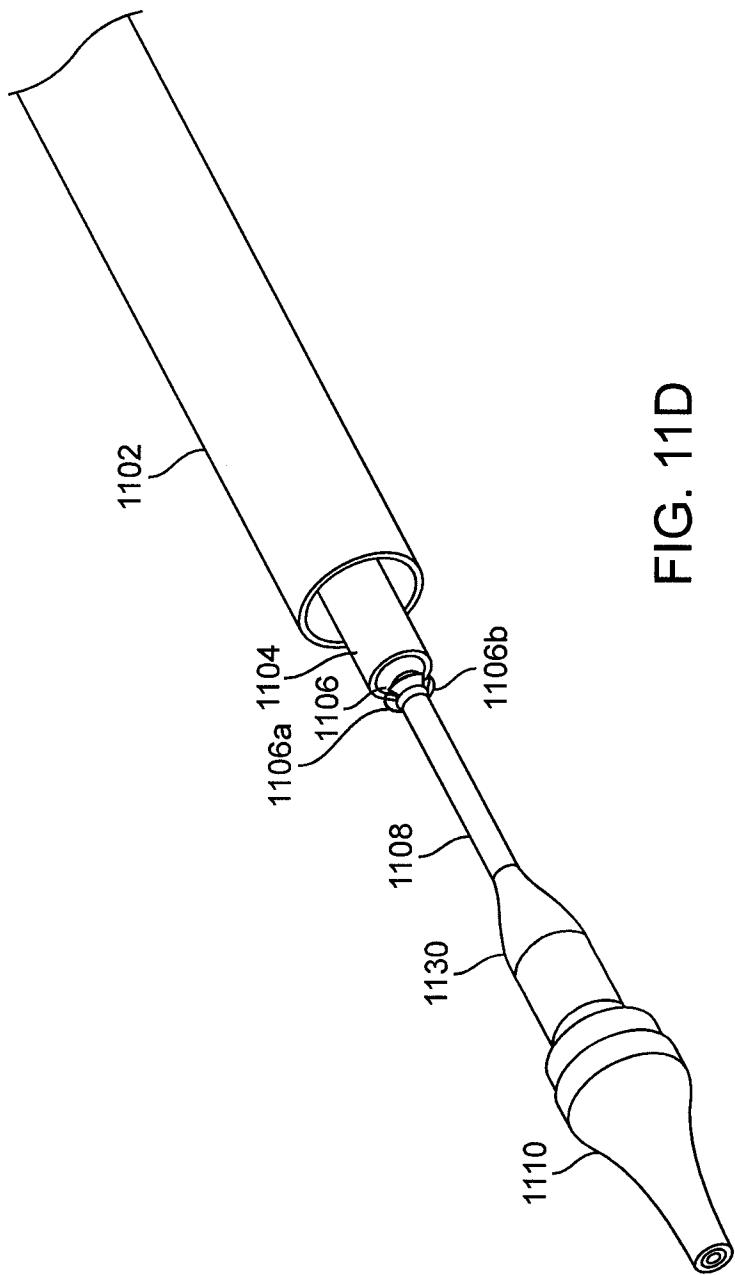
FIG. 11B

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FIG. 11D



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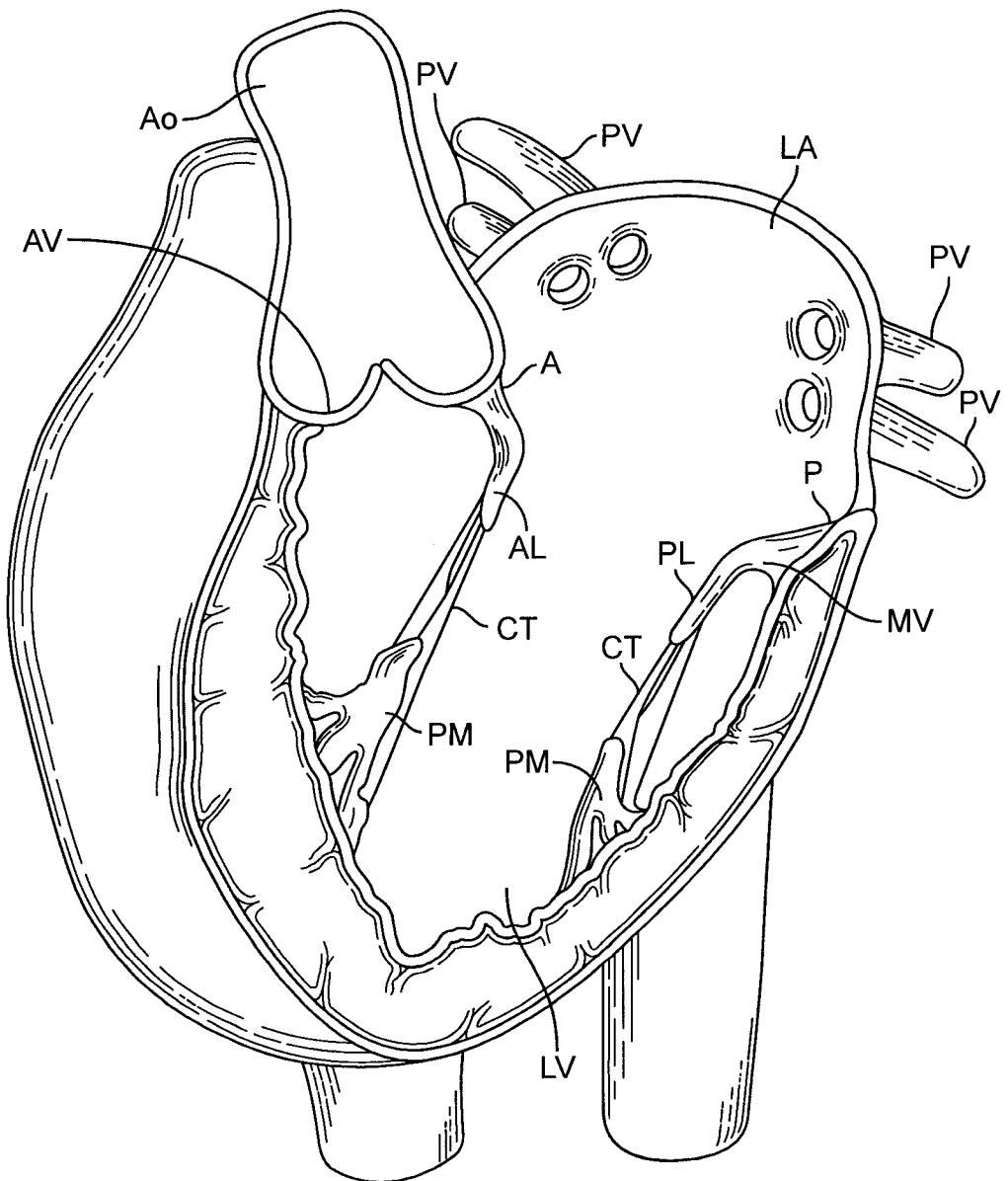


FIG. 12A

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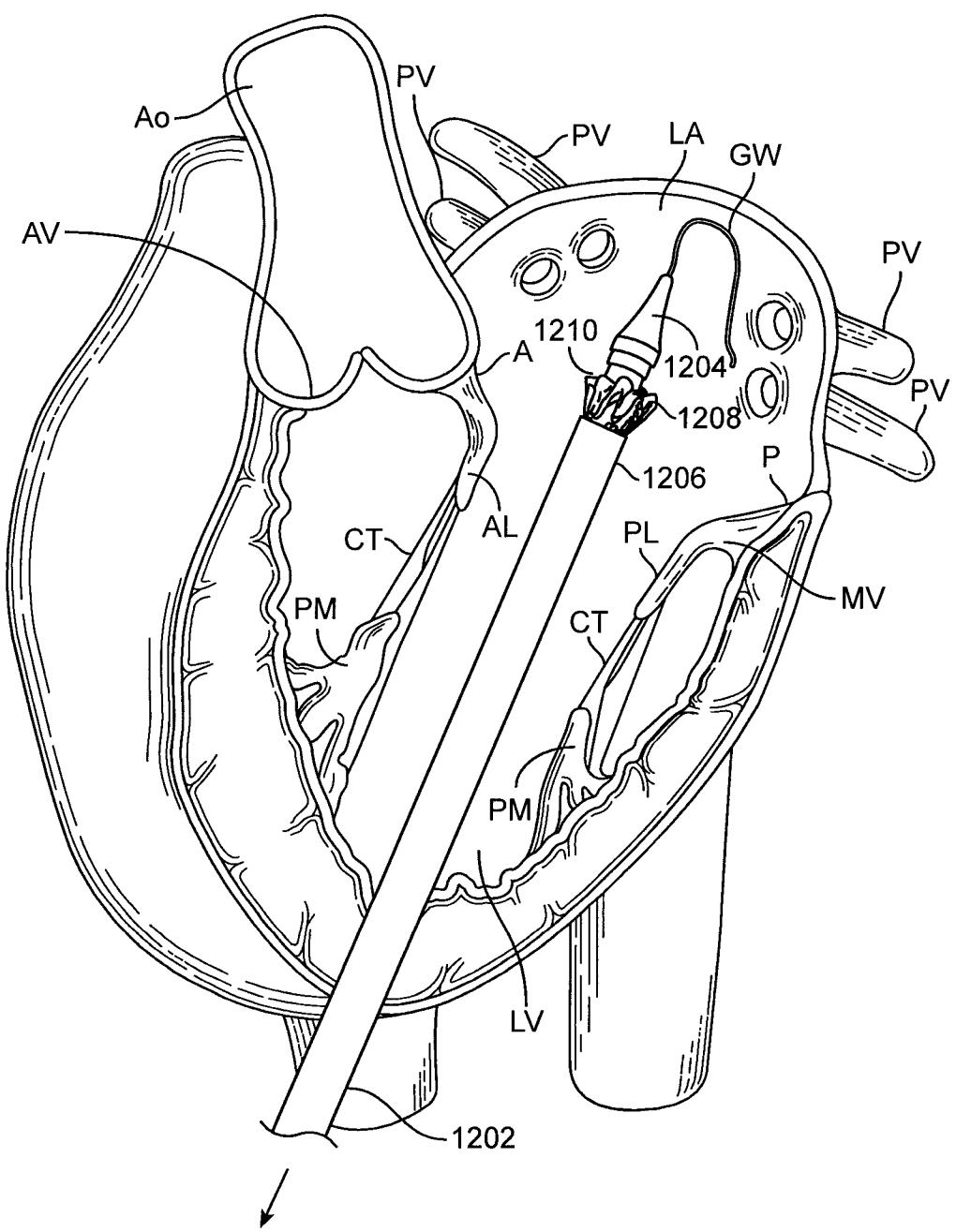


FIG. 12B

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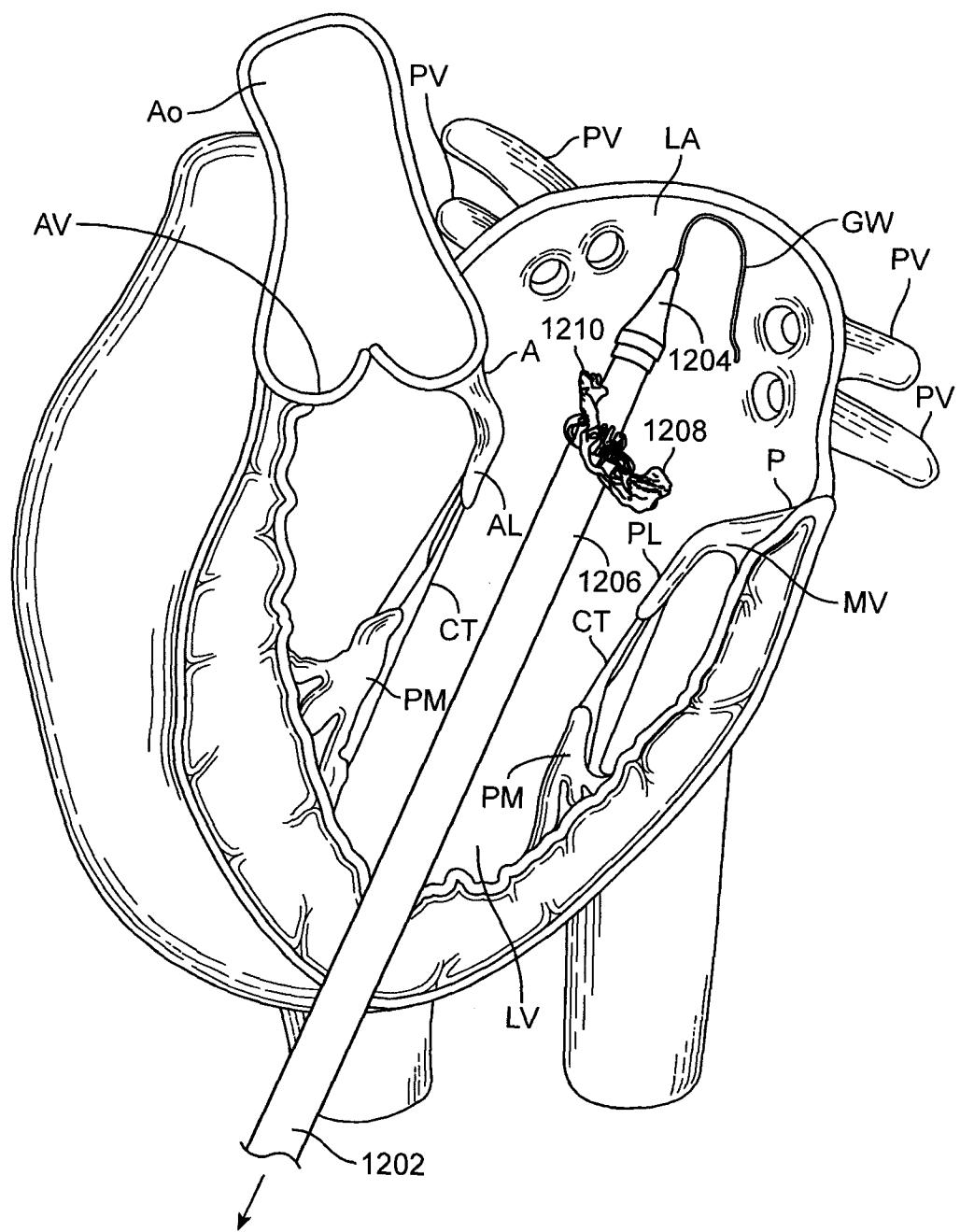


FIG. 12C

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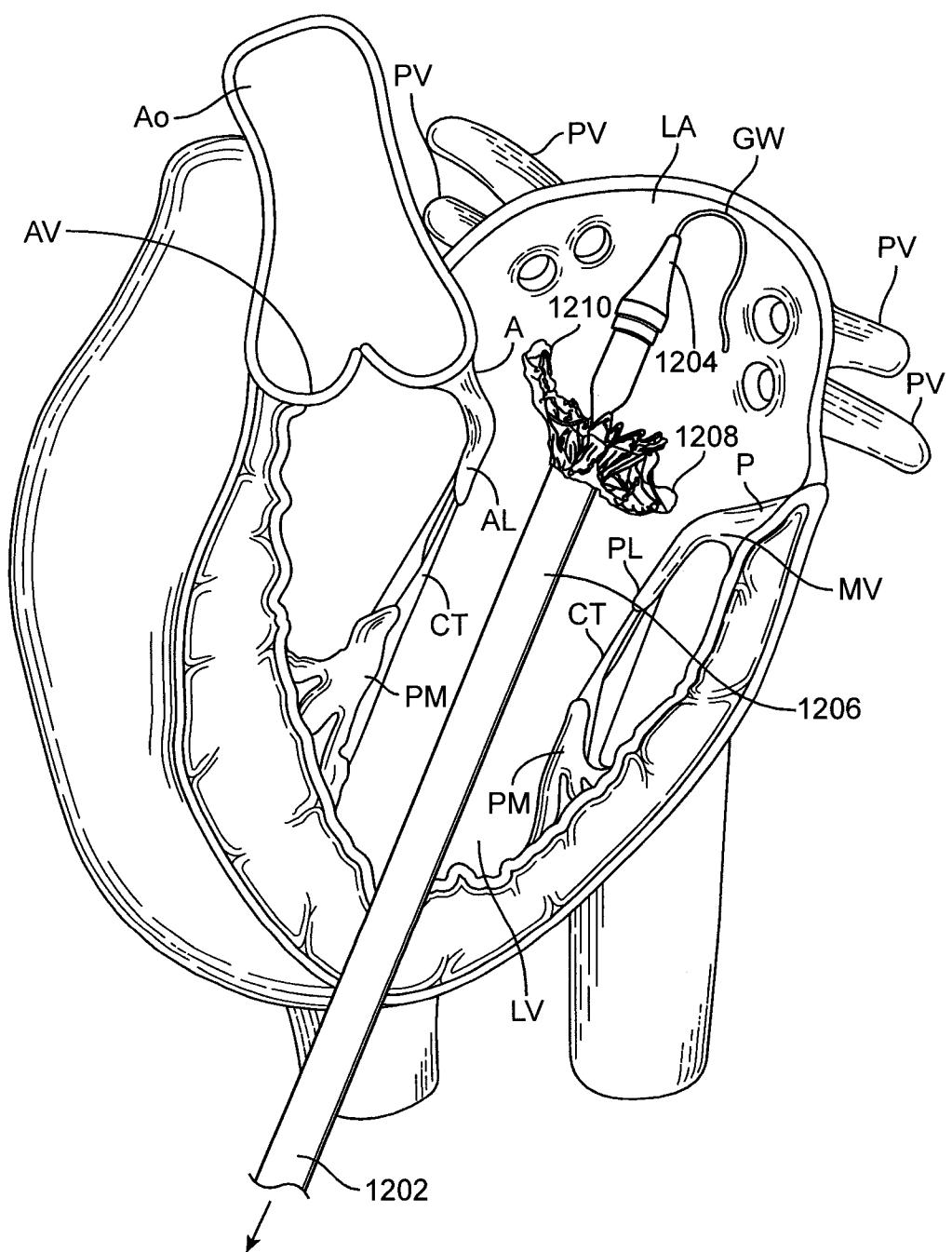


FIG. 12D

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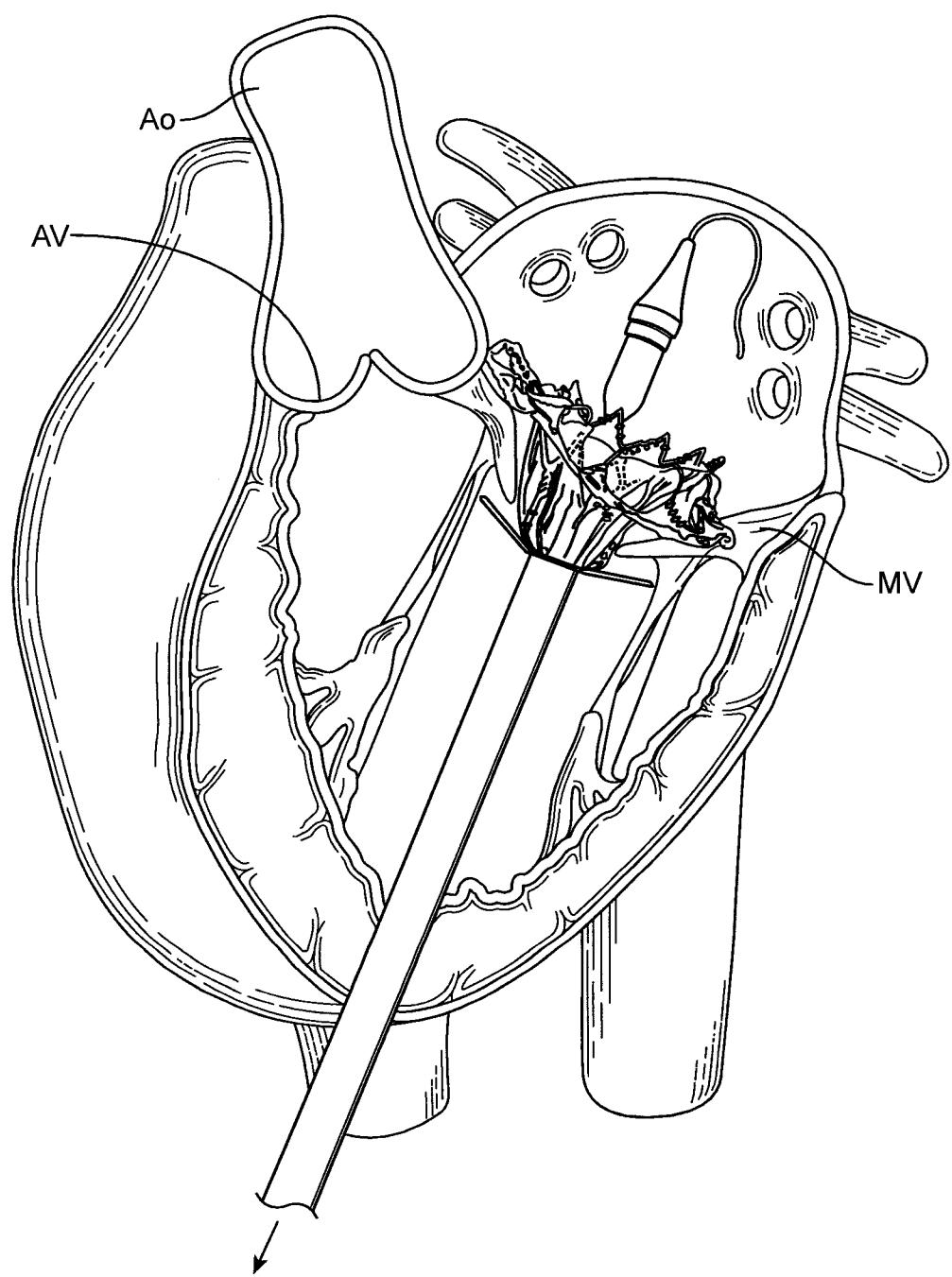


FIG. 12E

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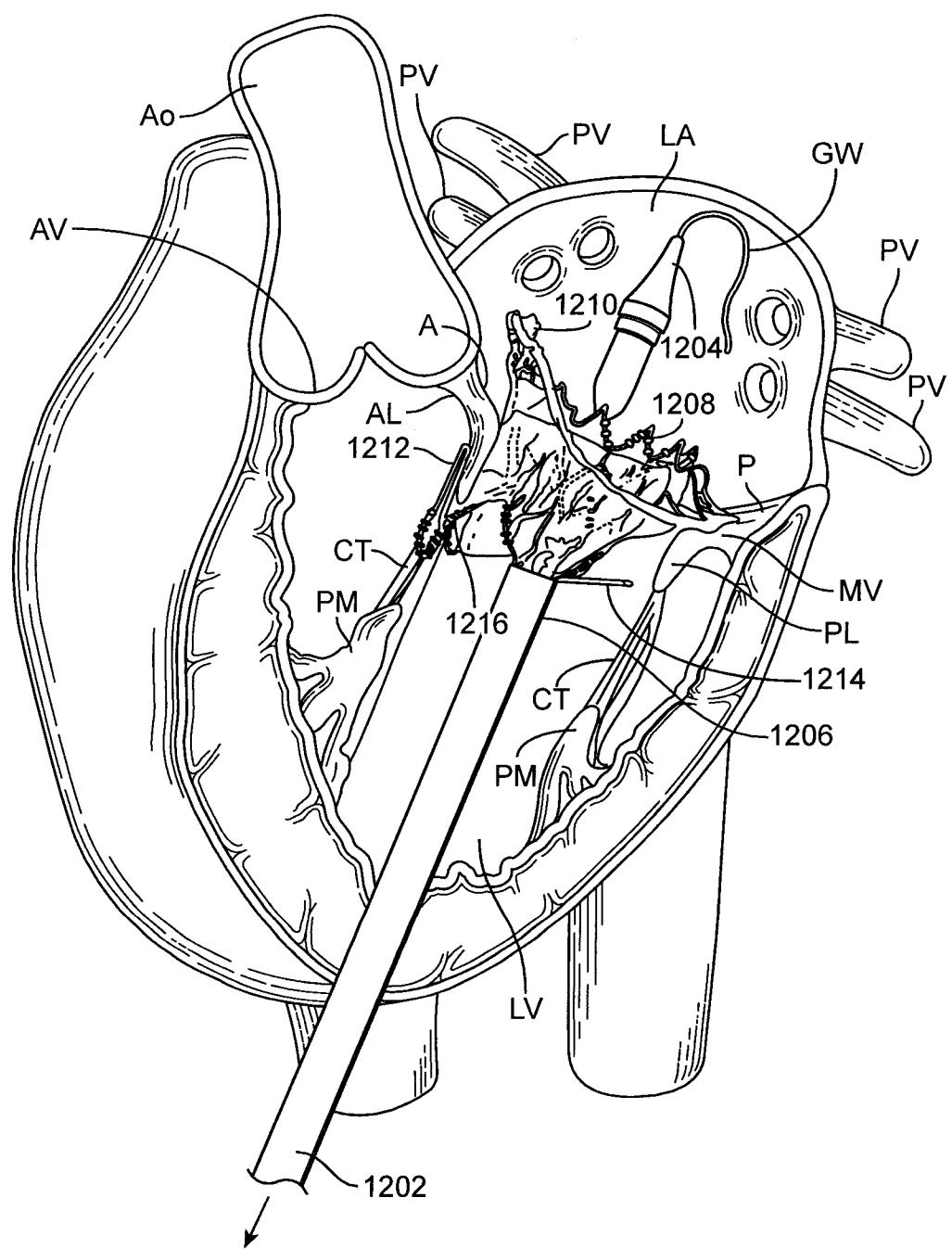


FIG. 12F

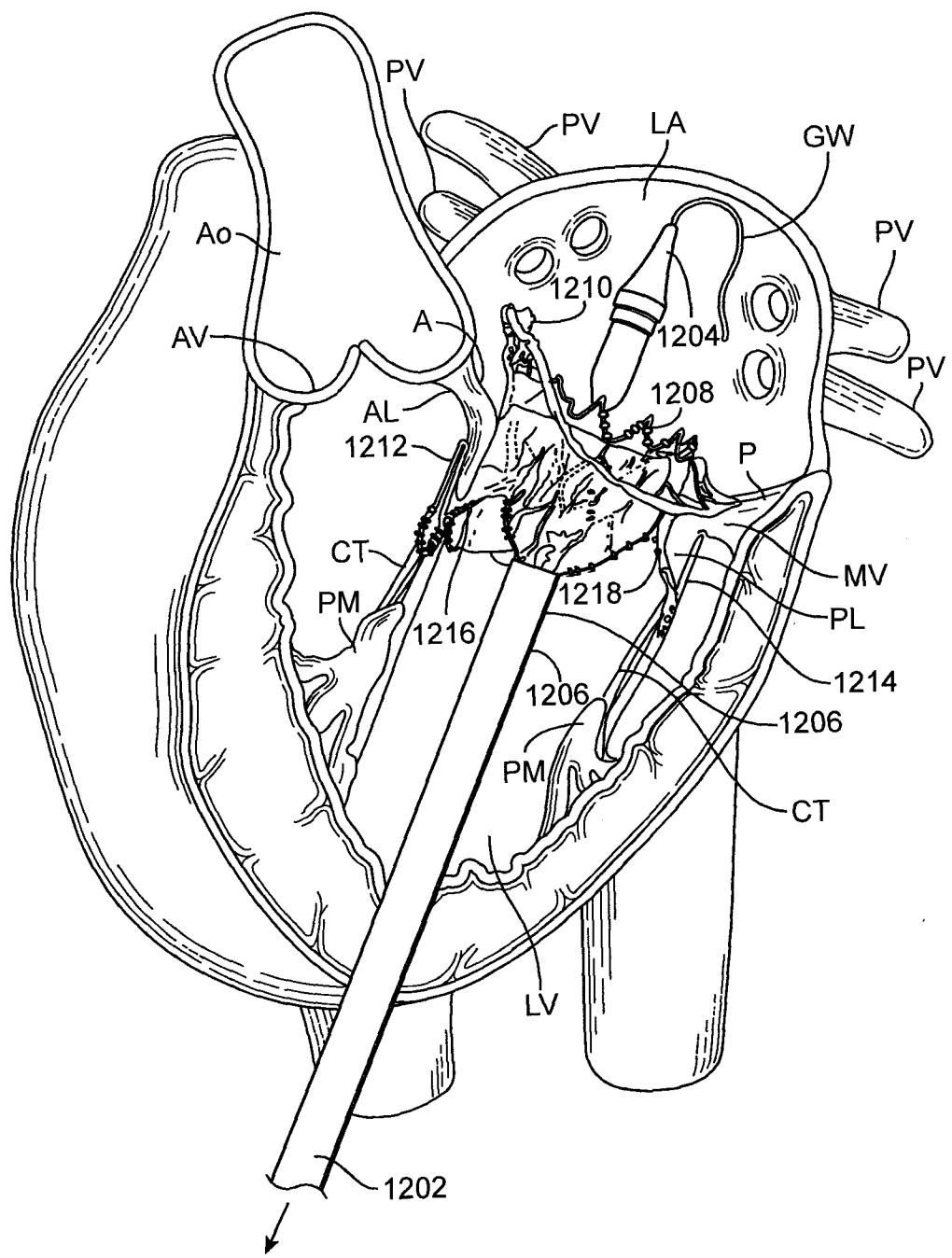


FIG. 12G

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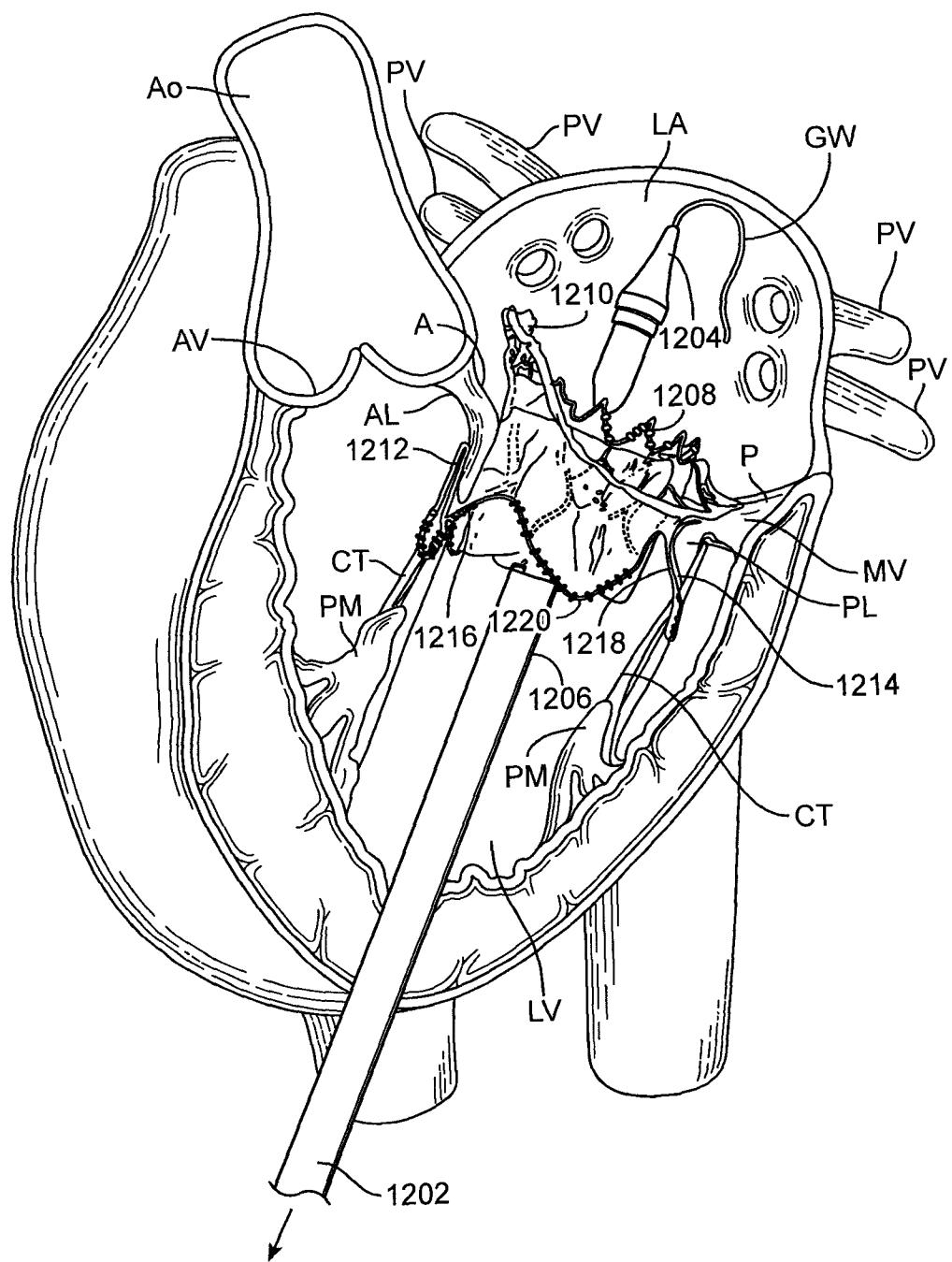


FIG. 12H

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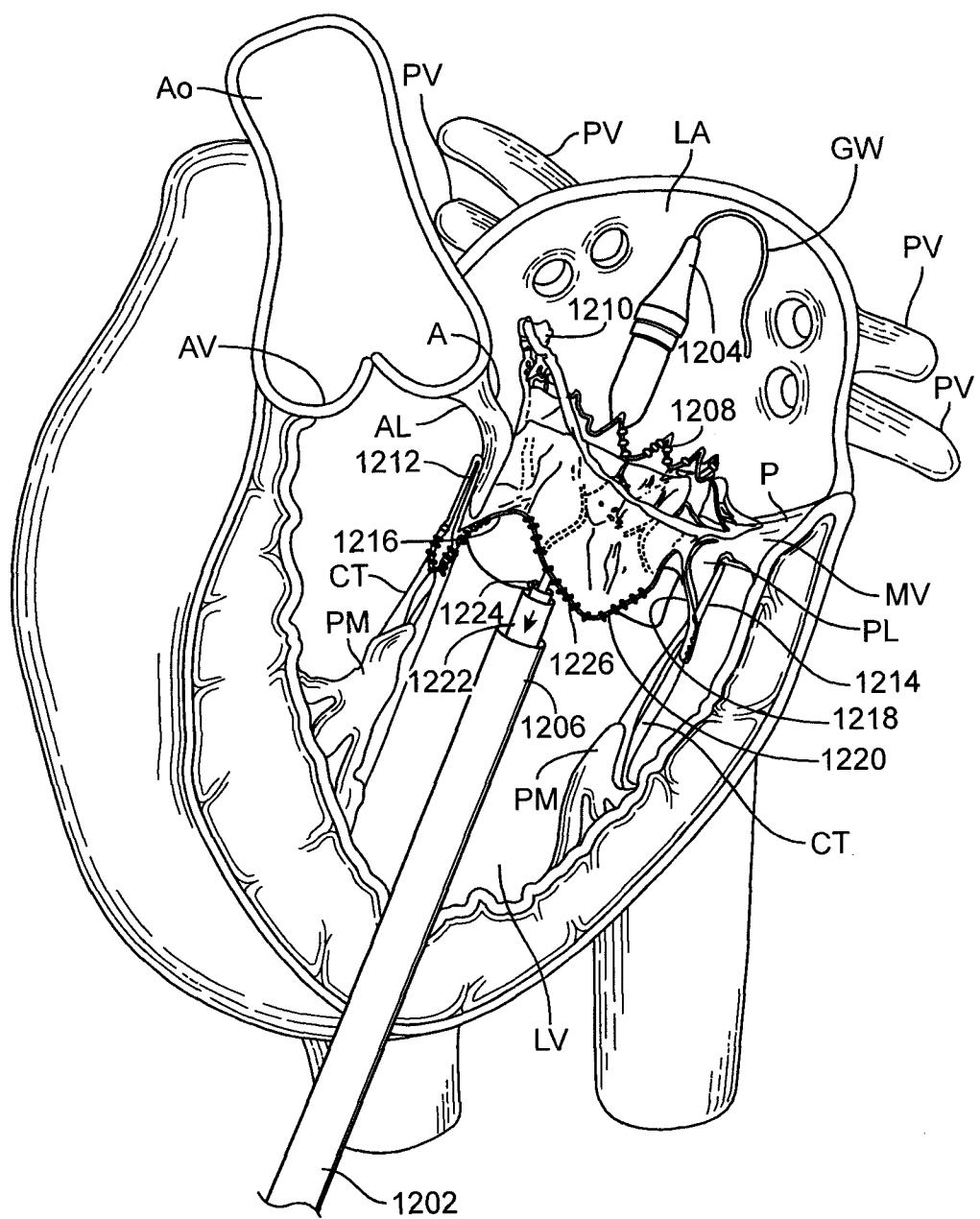


FIG. 12I

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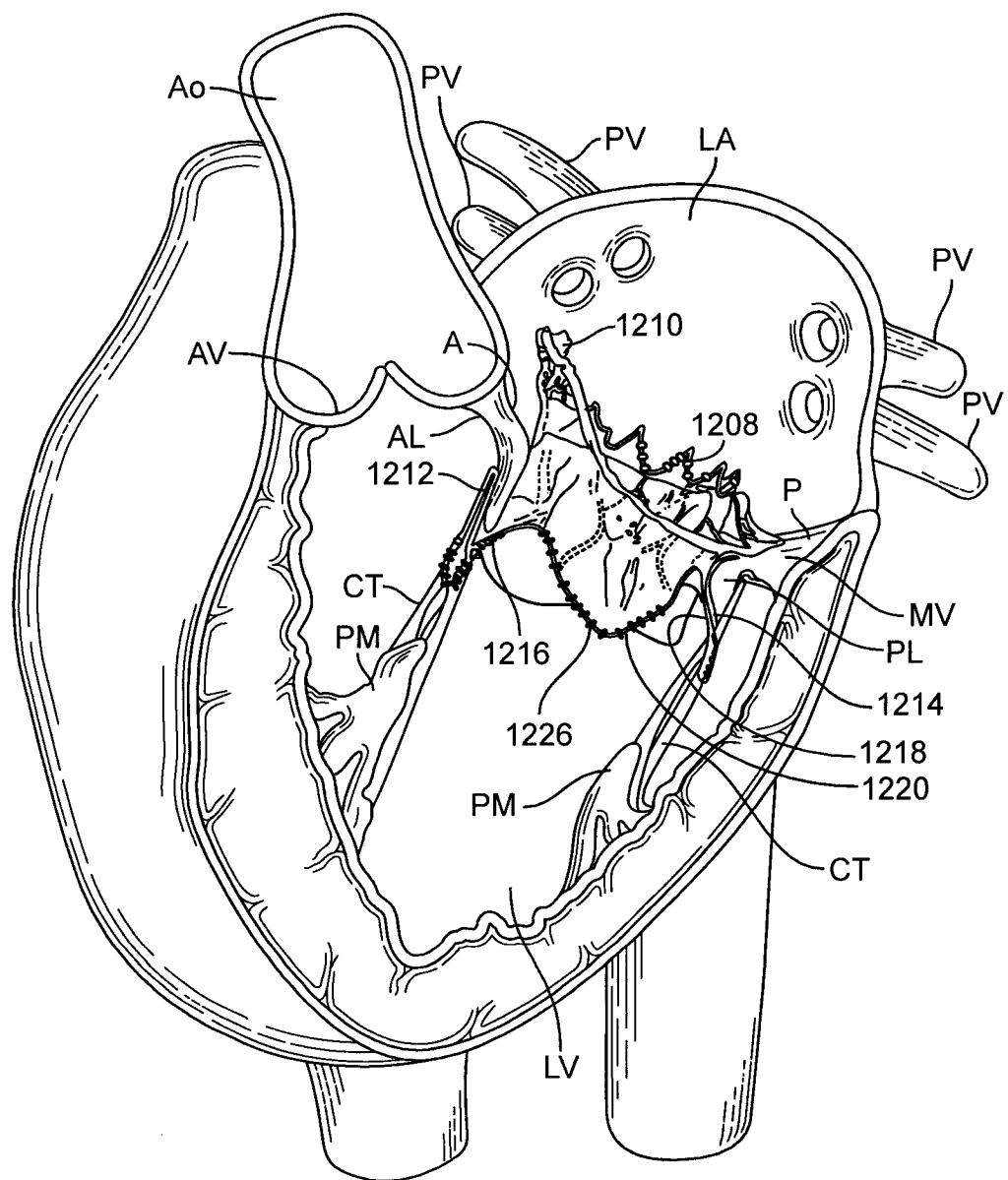


FIG. 12J

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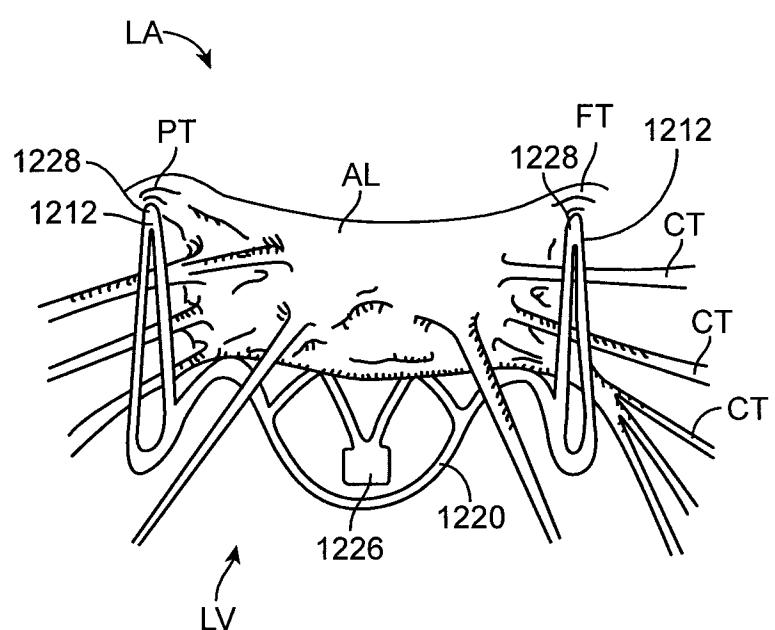


FIG. 12K

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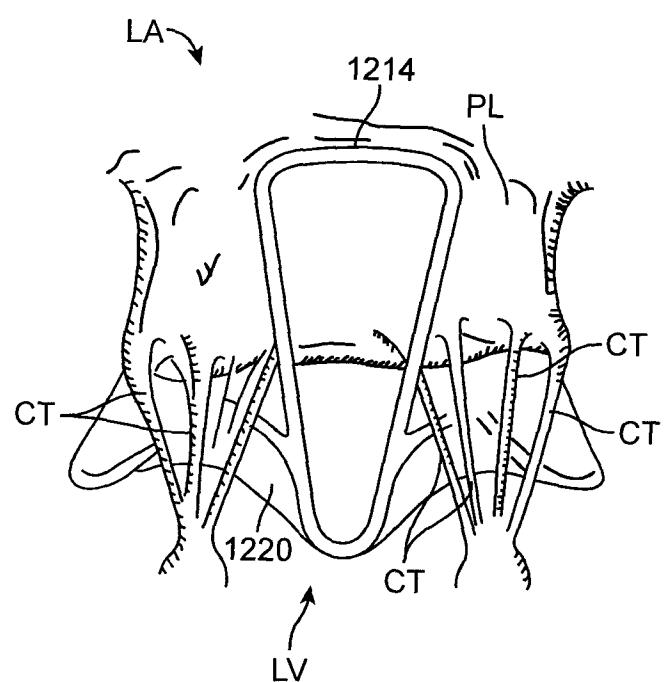


FIG. 12L

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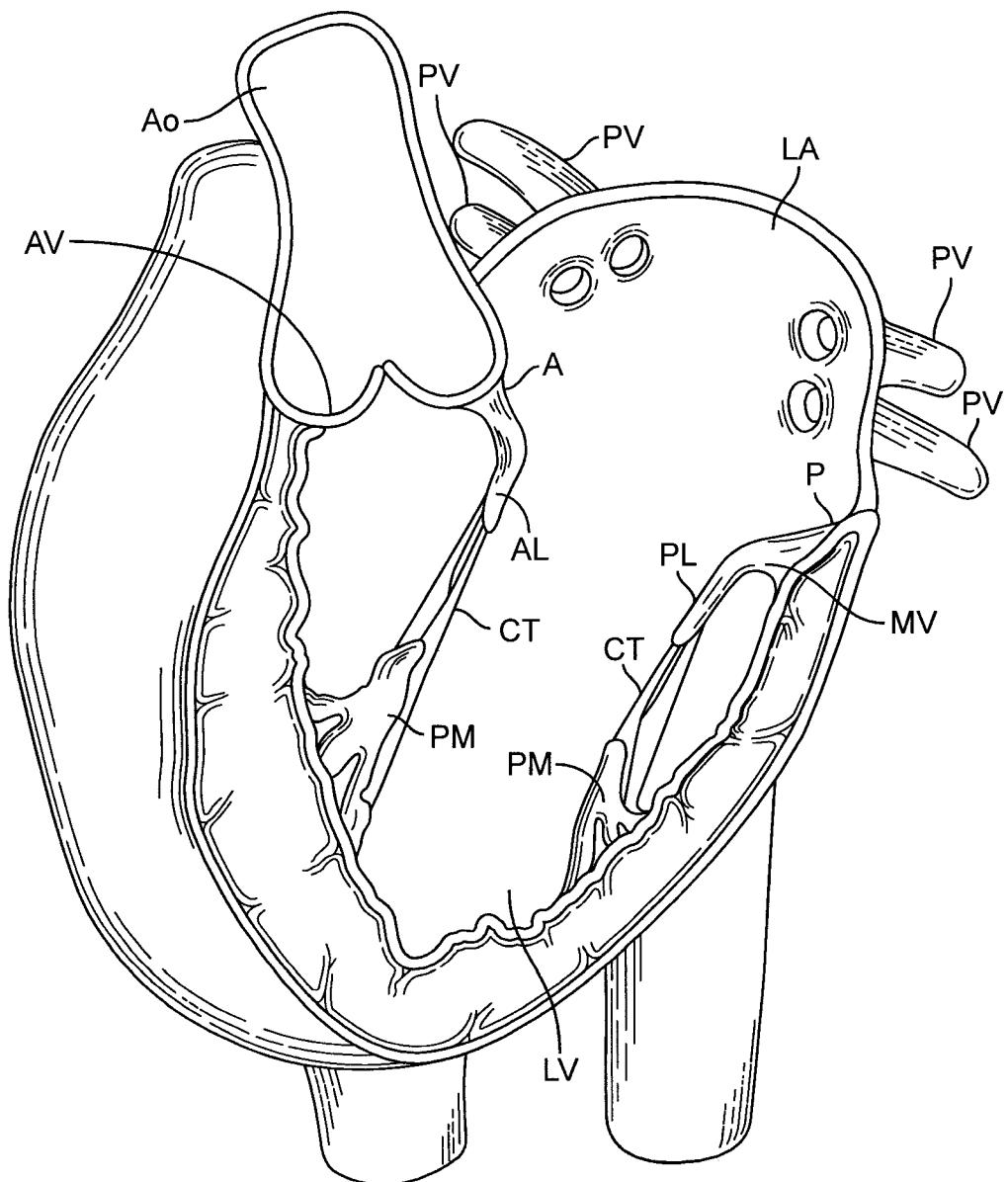


FIG. 13A

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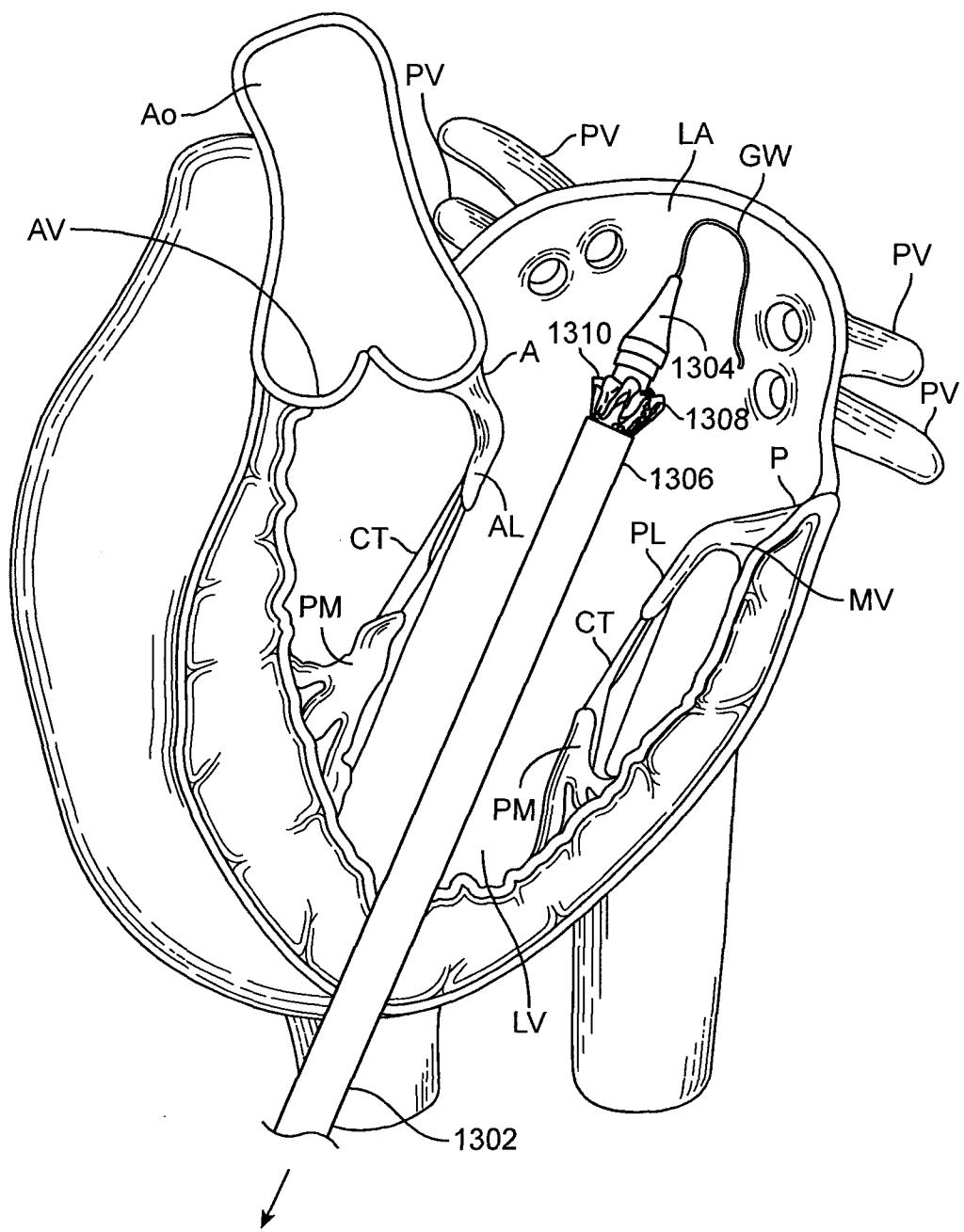


FIG. 13B

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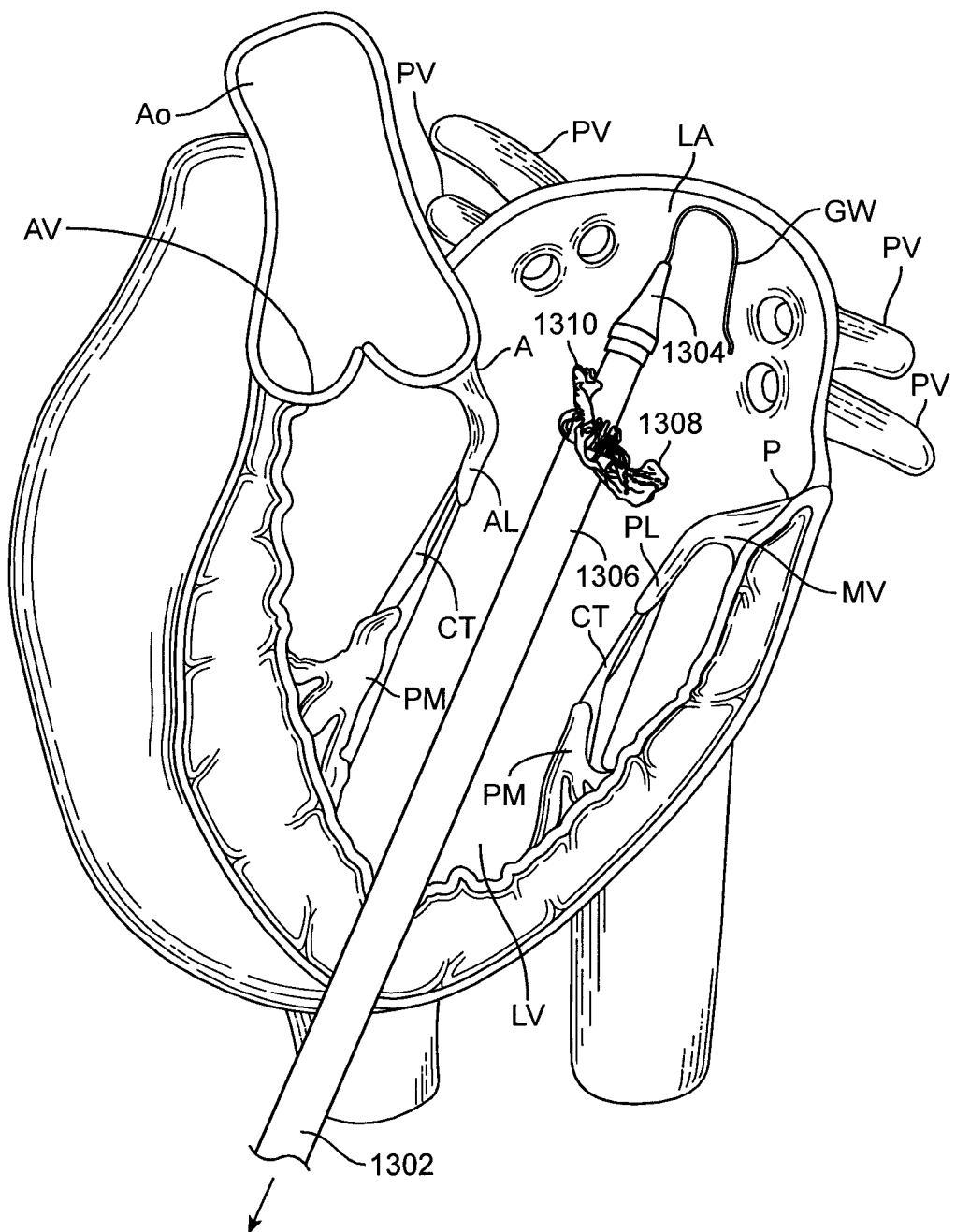


FIG. 13C

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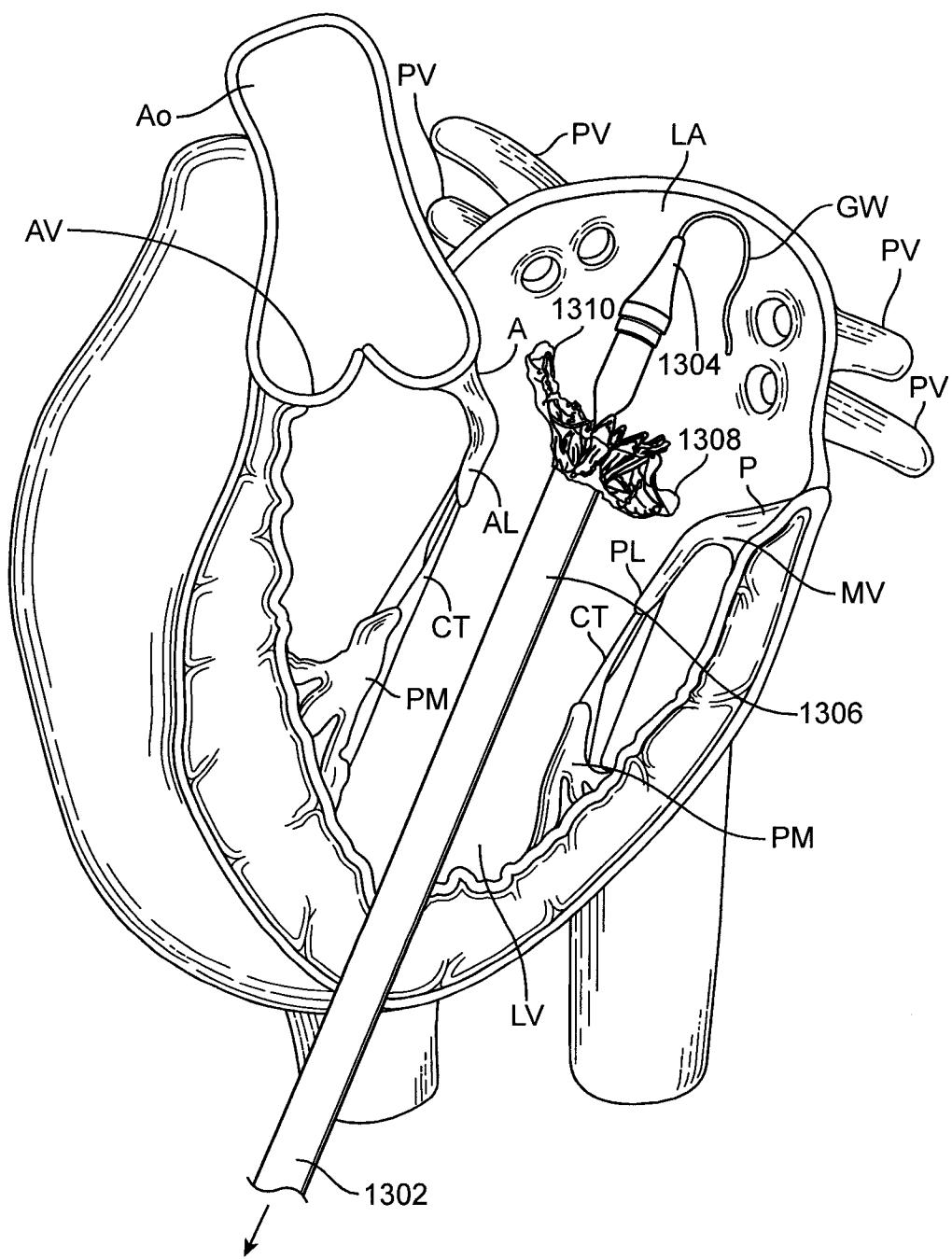


FIG. 13D

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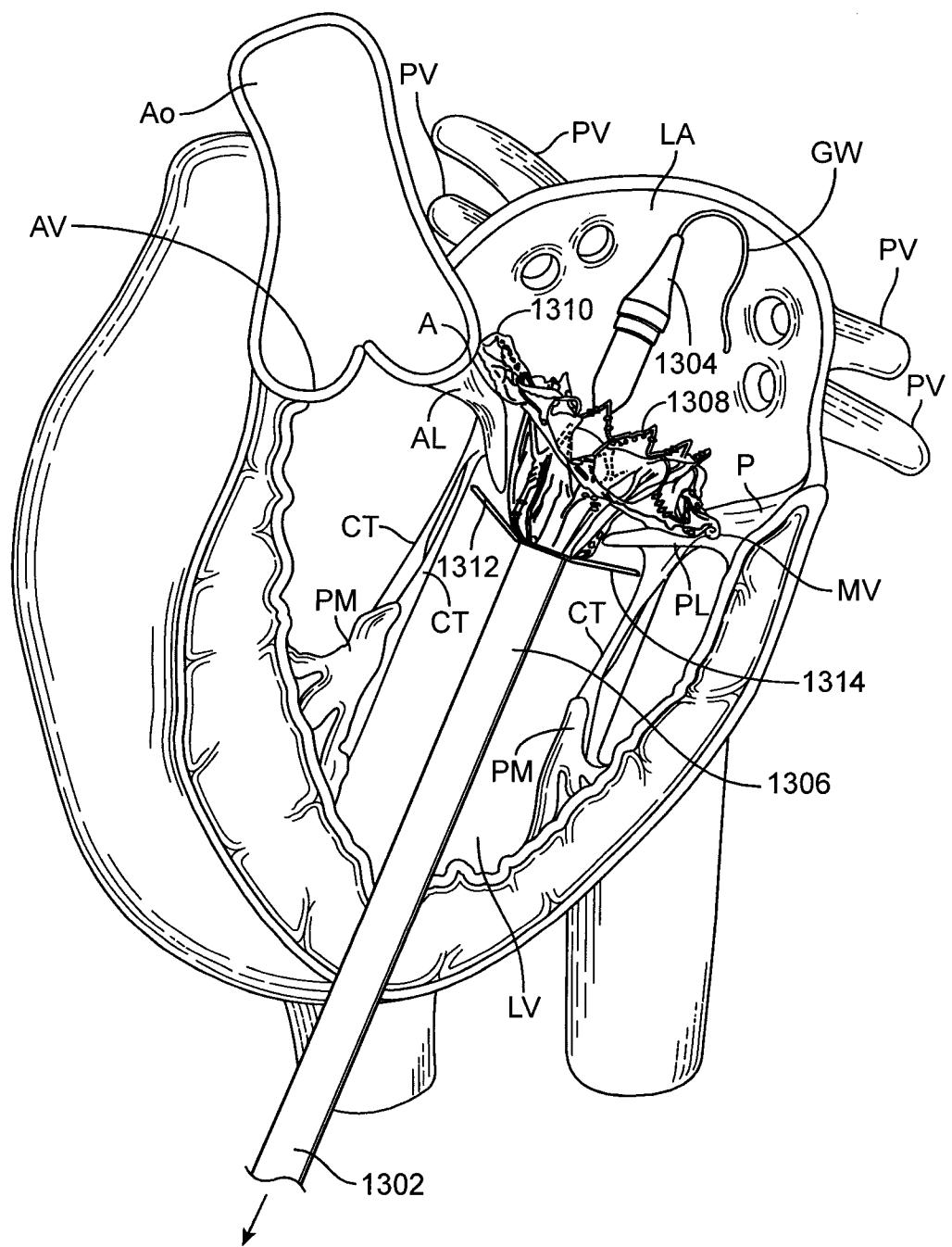


FIG. 13E

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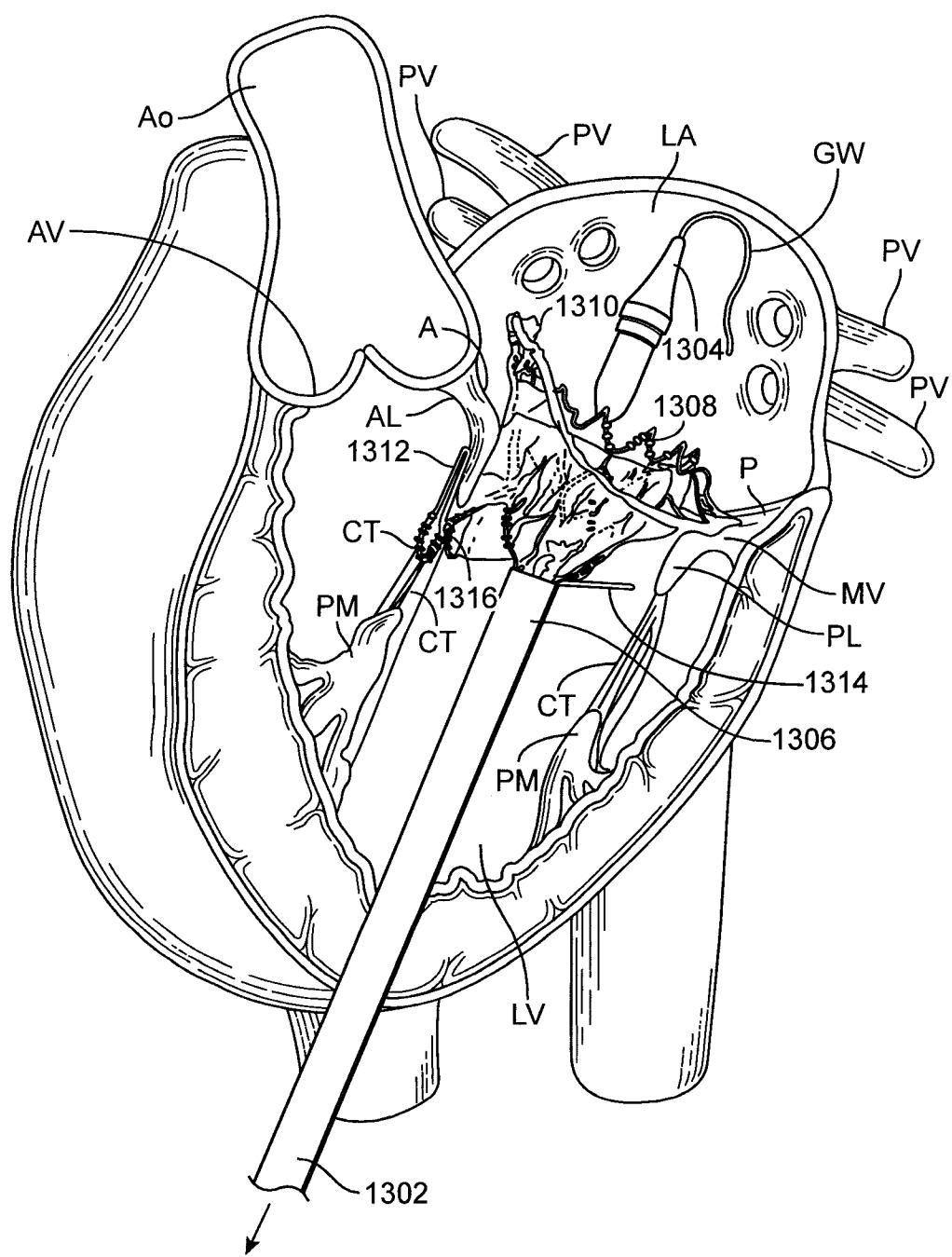


FIG. 13F

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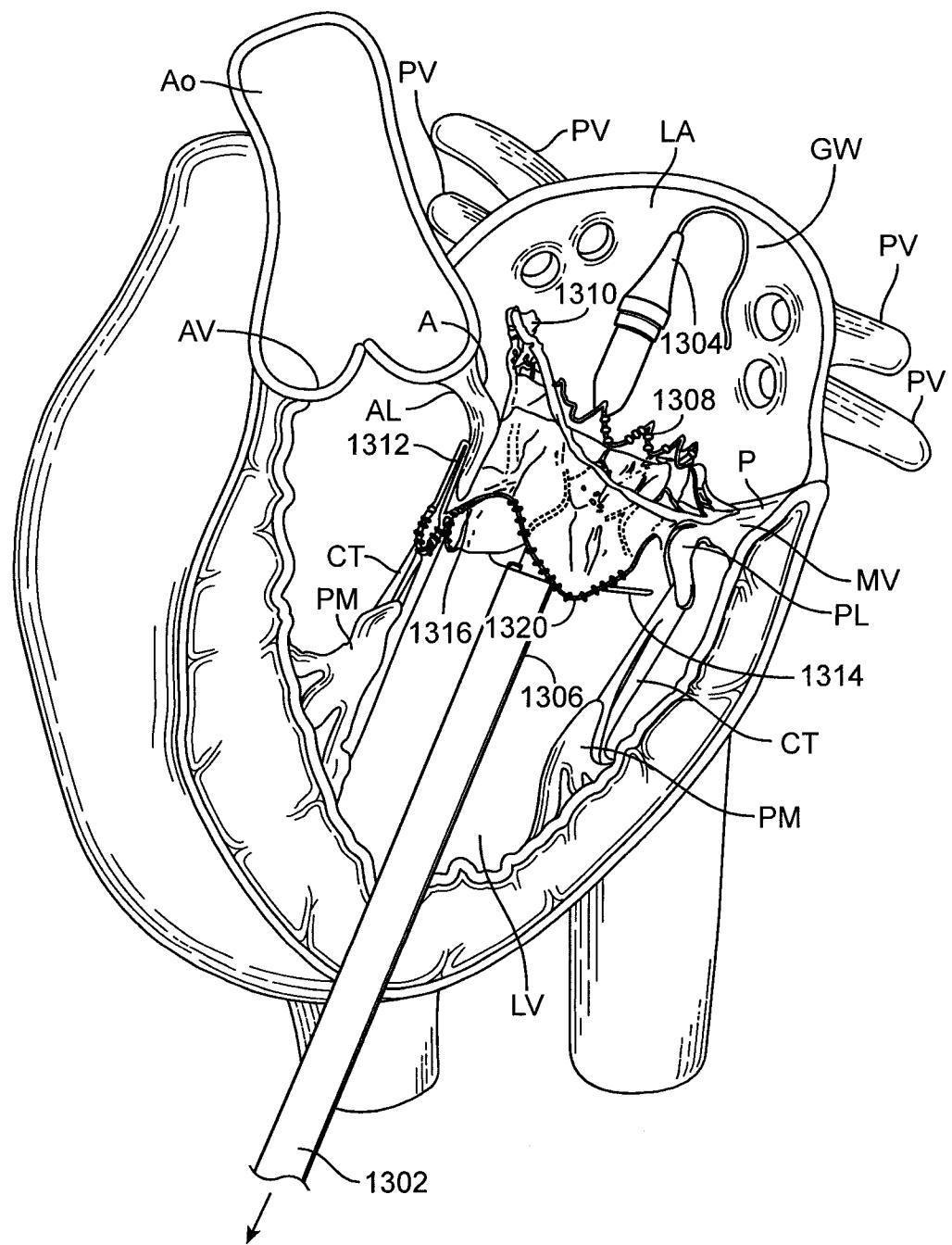


FIG. 13G

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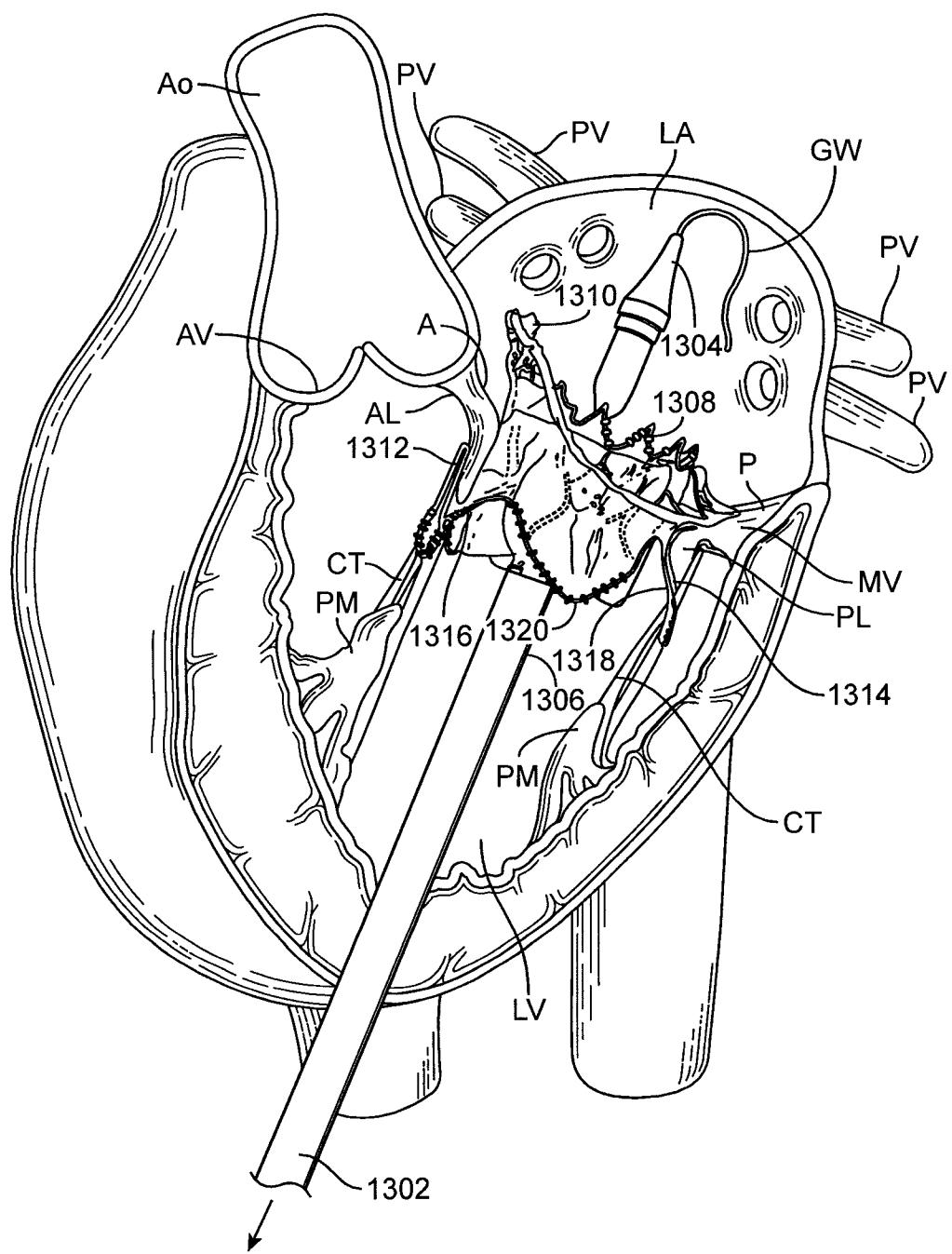


FIG. 13H

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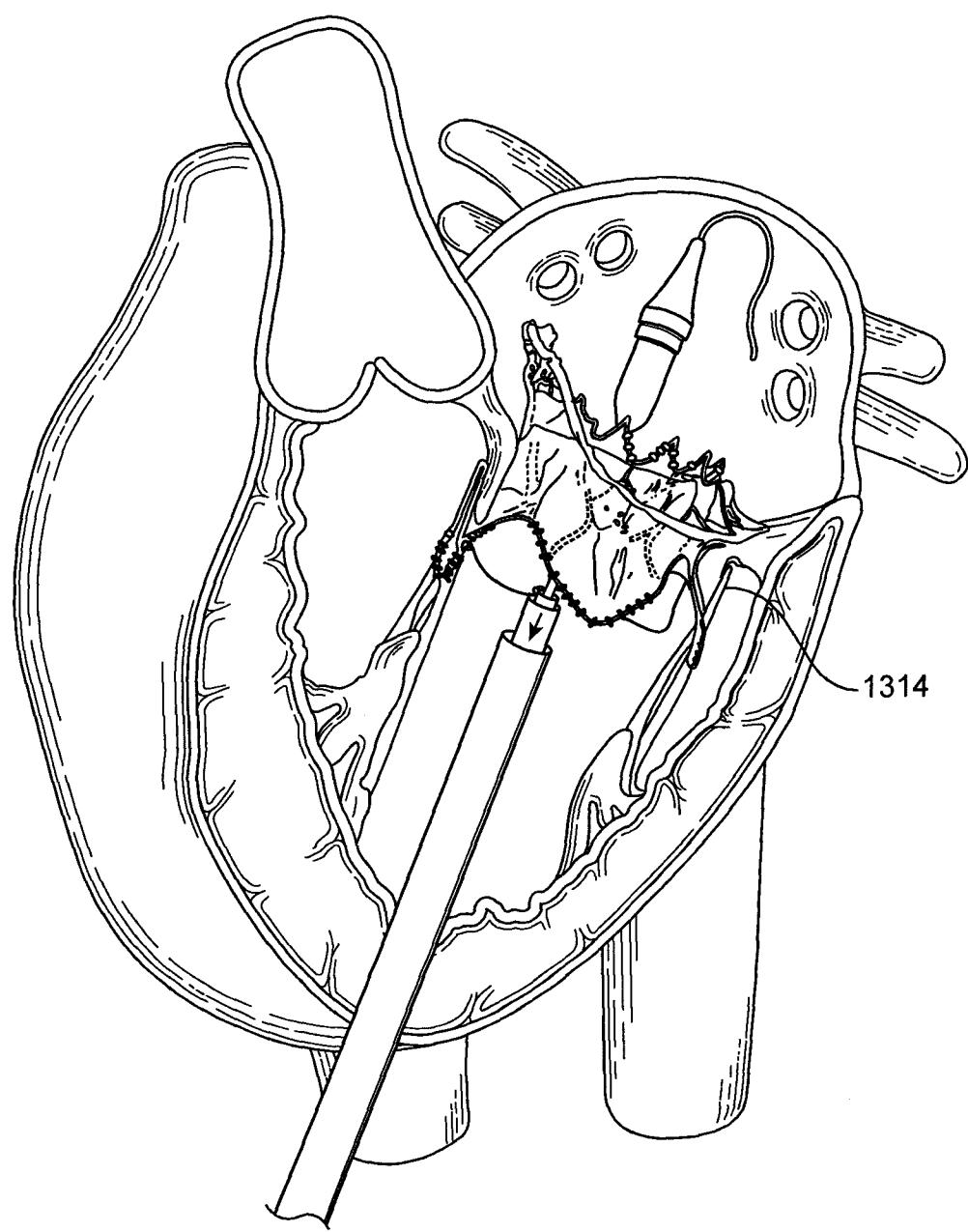


FIG. 13I

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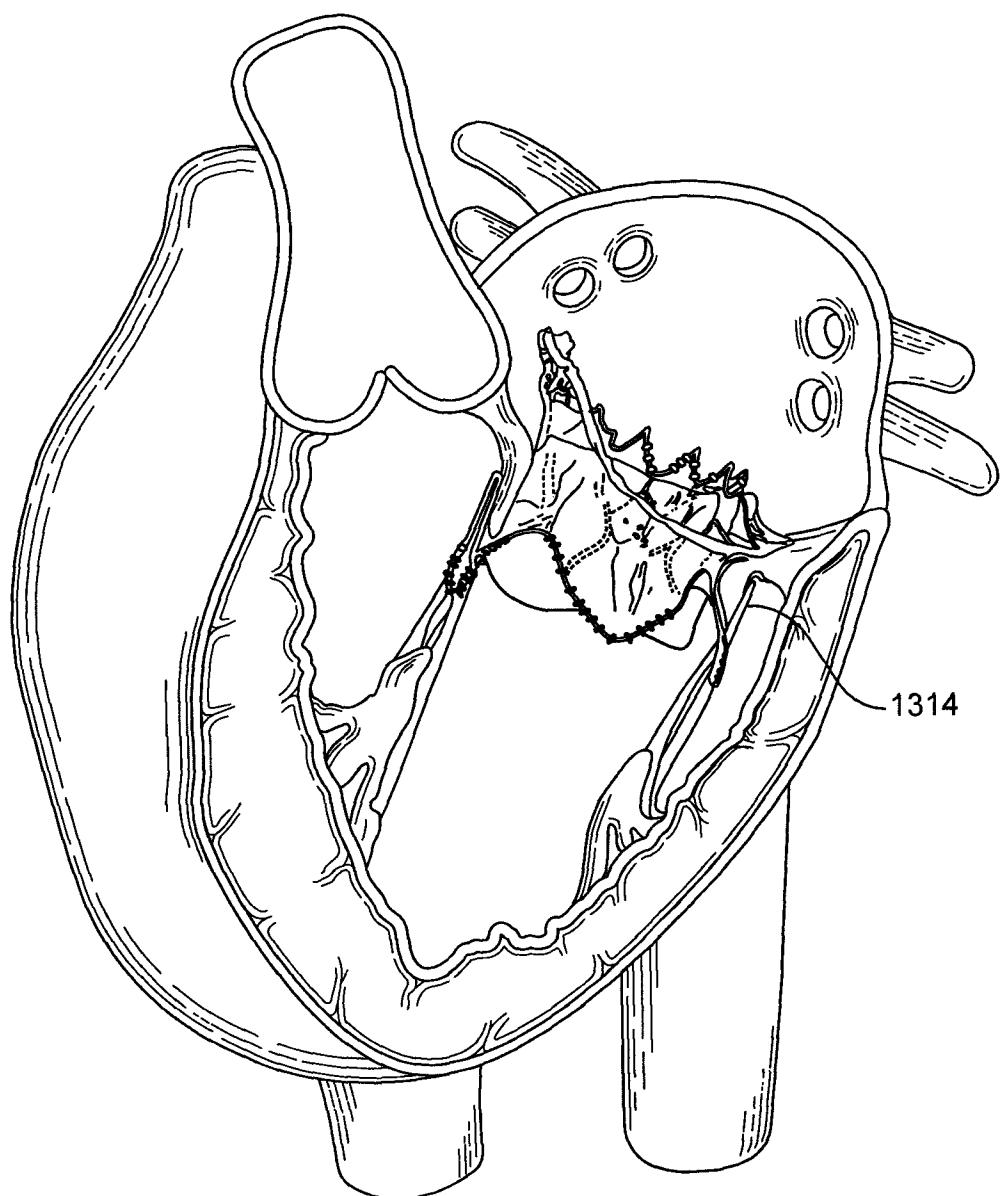


FIG. 13J

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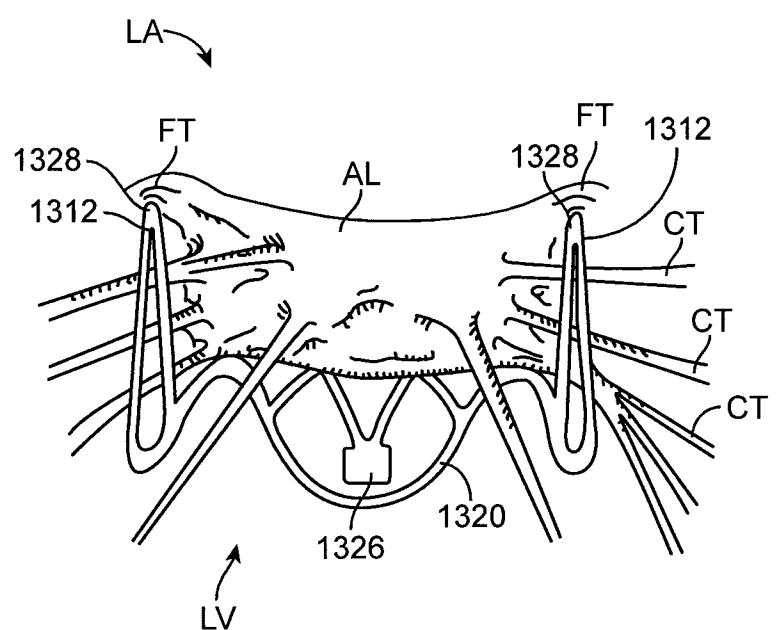


FIG. 13K

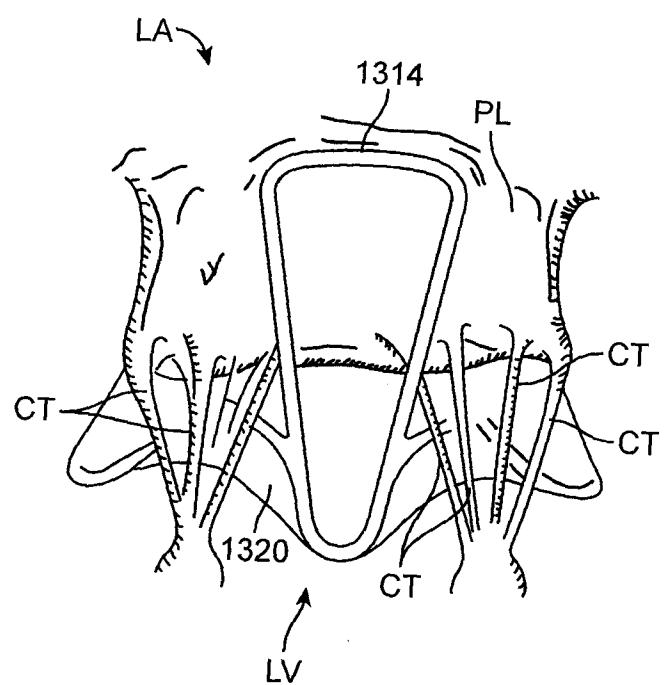


FIG. 13L

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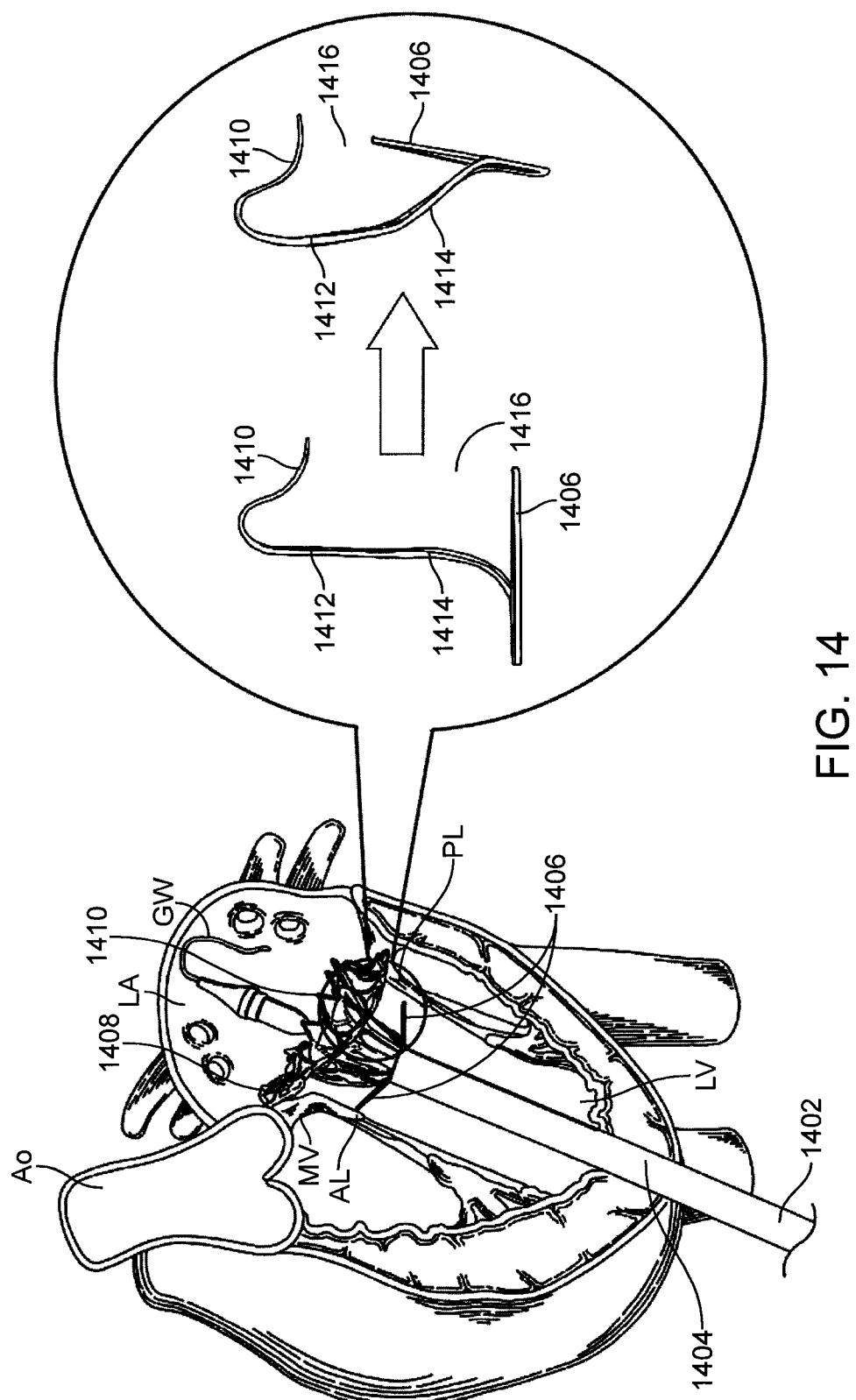


FIG. 14

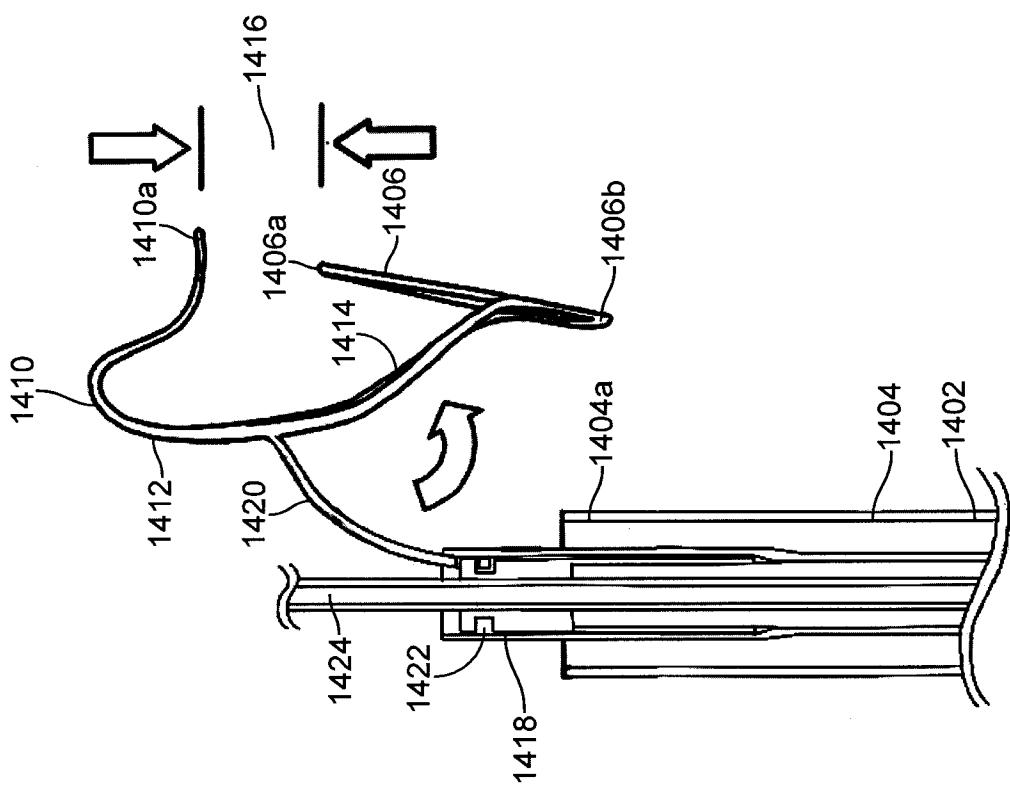


FIG. 15B

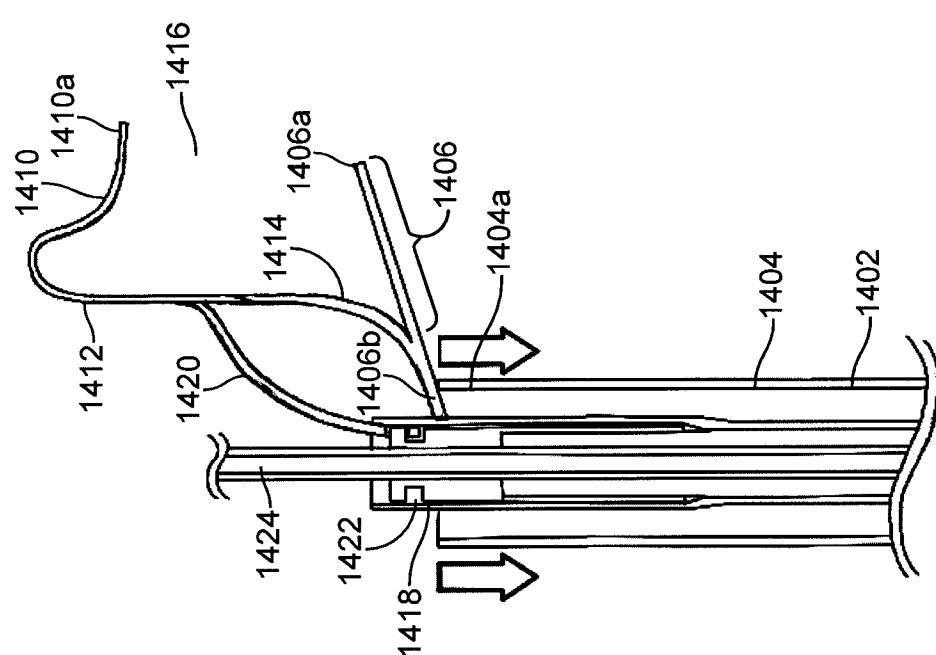


FIG. 15A

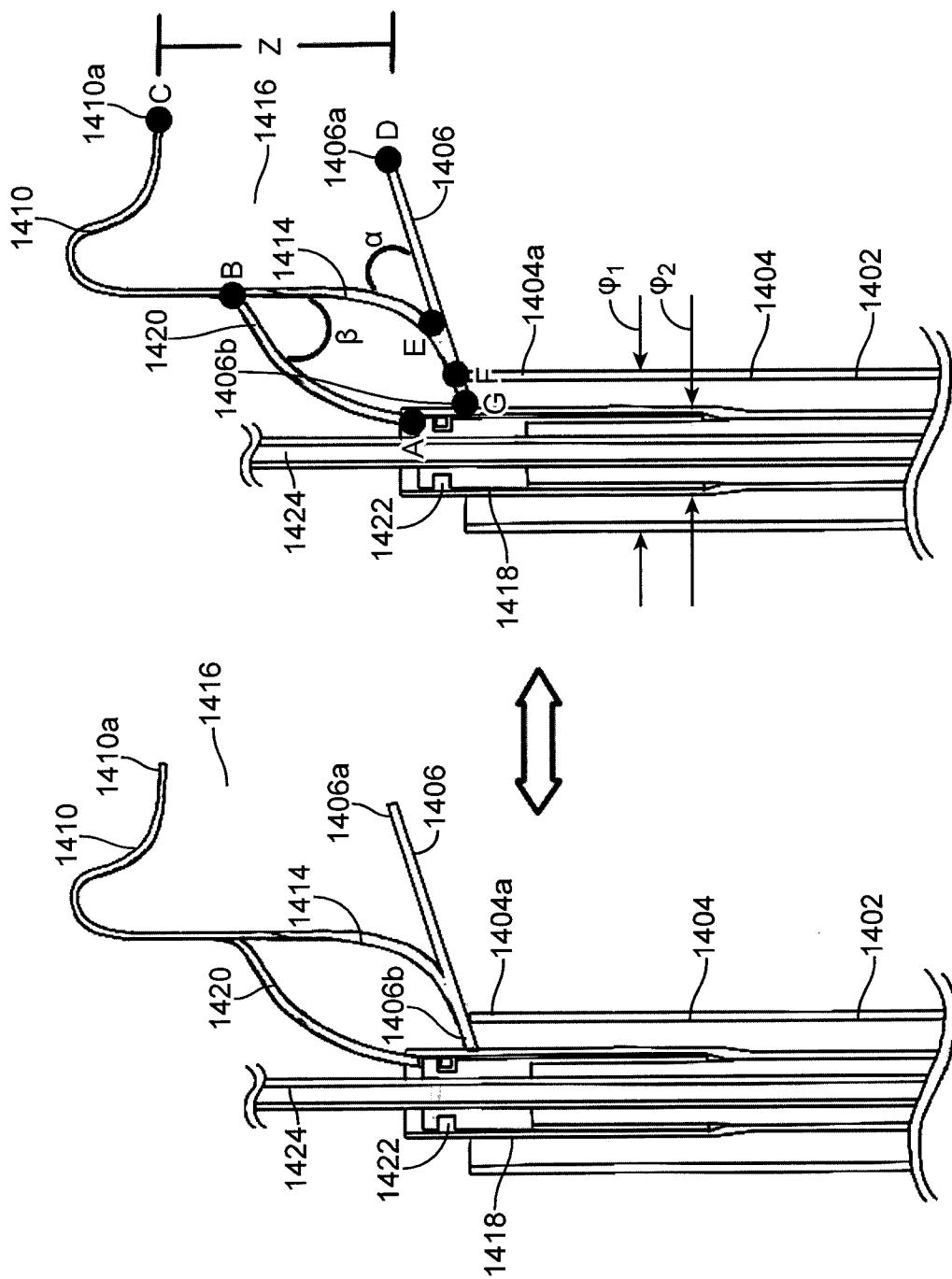


FIG. 16A  
FIG. 16B

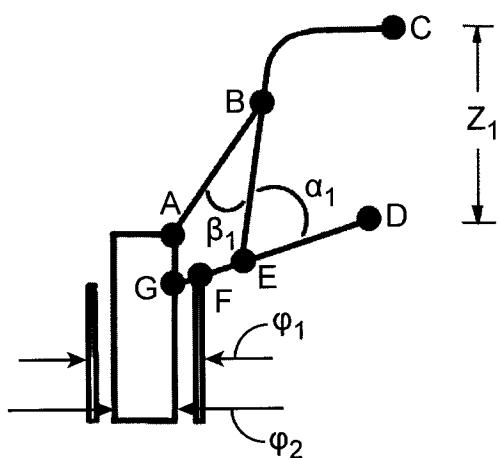


FIG. 17A

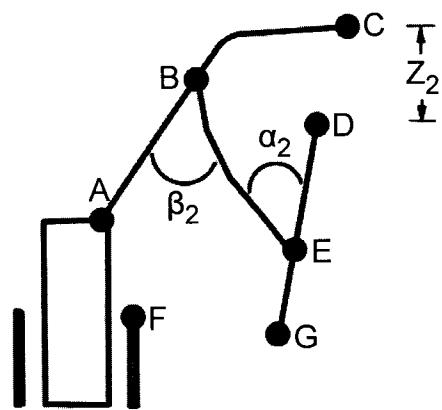


FIG. 17B

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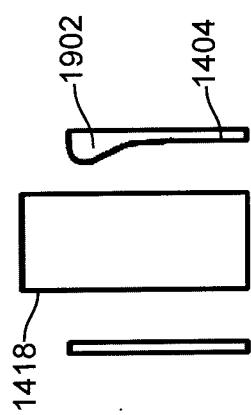
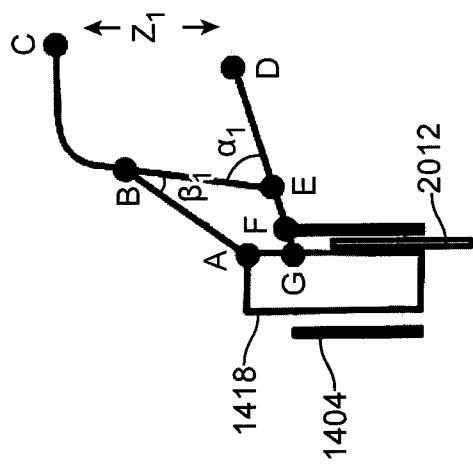


FIG. 19A

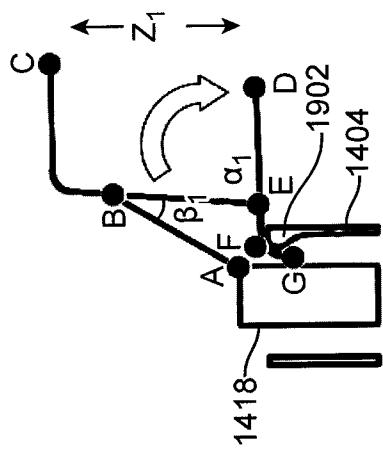


FIG. 19B

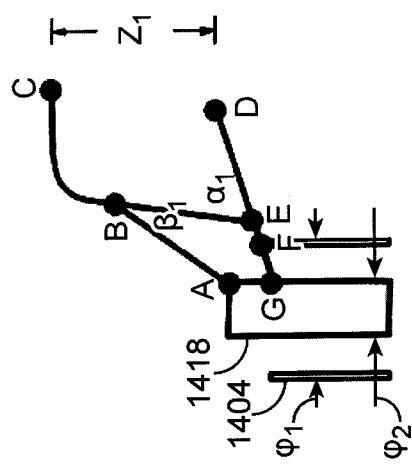
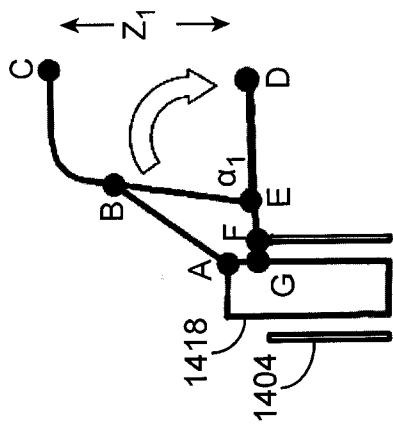


FIG. 18A



## FIGURE 18B