

## Investor Fact Sheet

### Corporate Profile

HeartWare International Inc. is a global medical device company dedicated to delivering safe, high-performing and transformative therapies that enable patients with heart failure to get back to life. The company's innovative technologies are creating advances in the miniaturization of Ventricular Assist Devices (VADs) leading to less invasive surgical procedures and increasing the patient population who may be suitable for VAD therapy.

Heart failure is a degenerative, terminal disease affecting more than 20 million patients worldwide and causing more than 7.25 million deaths each year. Approximately 1 million patients suffer from Class IV heart failure, the most severe stage of the disease. Heart transplantation is a proven treatment option for Class IV heart failure patients, but a limited number of donor hearts become available each year. Ventricular assist devices can provide circulatory support until a donor heart becomes available (called bridge-to-transplant therapy), or, provide long-term support as an alternative to transplantation (called destination therapy in many countries).

HeartWare's breakthrough innovations begin with the company's miniaturized ventricular assist device, called the HVAD<sup>®</sup> Pump, designed to be implanted next to the heart in the pericardial space avoiding the more invasive surgical procedures required with older LVAD technologies.

HeartWare<sup>®</sup> Ventricular Assist System Featuring the HVAD Pump Available Around the World

The HeartWare Ventricular Assist System obtained U.S. market approval in 2012 from the U.S. Food and Drug Administration (FDA) as a bridge-to-transplant therapy for patients with advanced stage heart failure. The HeartWare<sup>®</sup> System has been commercially available in other global markets including Europe and Australia, since 2009. To date, more than 9,000 patients worldwide have been treated with the HeartWare Ventricular Assist System.

HeartWare's corporate headquarters are in Framingham, Massachusetts. The company's operating and manufacturing activities are based in Miami Lakes, Florida, and Sydney, NSW, Australia.

### Stock Quote

HeartWare

[HTWR \(NASDAQ\)](#)

Price	\$-
Change (%)	■ - (-%)
Volume	-

### Recent Reports

Voluntary Sale Facility  
Extended to 1 June  
2014

ASX Removal from  
Official List 2013

September Reminder  
Letter

June 17, 2013 Letter  
to CDI holders

Frequently Asked  
Questions

Delisting Letter and  
Timetable

Voluntary Share Sale  
Facility Form

Register Removal  
Request Form

Form W-8BEN

## Recent News & Events

09/30/16 - 9:23 a.m.

FDA Classifies Two Field Actions Related to HeartWare HVAD System as Class 1 Recalls

08/23/16 - 9:09 a.m.

Medtronic Completes Acquisition of HeartWare International

07/28/16 - 8:00 a.m.

HeartWare International Reports \$68.7 Million In Second Quarter 2016 Revenue

There are currently no events scheduled.

## SEC Filings

Filing Date	Form
02/10/17	SC 13G/A
01/20/17	SC 13G/A
09/27/16	SC TO-I/A
09/02/16	15-12B

## Corporate Governance

Doug Godshall	Executive Director, President and Chief Executive Officer
Larry Knopf	Senior Vice President, General Counsel and Secretary
Jeff LaRose	Executive Vice President, Chief Scientific Officer
Katrin Leadley, M.D.	Chief Medical Officer
Peter McAree	Senior Vice President, Chief Financial Officer and Treasurer
Jim Schuermann	Senior Vice President, Sales and Marketing
Mark Strong	Senior Vice President, Research & Development and Quality

## Top Holders

	<b>Shares Held</b>	<b>% O/S</b>	<b>Share Change</b>	<b>Filing Date</b>
Société Générale Private Banking	119,199	0.0	119,199	06/30/16
Cadence Capital Management, LLC	8,993	0.0	8,993	12/31/15
Deutsche Asset & Wealth Management	7,700	0.0	7,700	01/31/16
Waddell & Reed Investment Management Company	3,905	0.0	0	02/29/16
Invesco Management Group, Inc.	2,500	0.0	-200	03/31/16
Penn Mutual Asset Management, LLC	689	0.0	0	04/30/16