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(54) Title: POLYAXIAL BONE SCREW WITH SPLINE CAPTURE CONNECTION

(57) Abstract: A polyaxial bone screw having a bone implantable shank, a head and a retaining ring. The retaining ring includes an outer partial hemispherical surface and an inner bore with radially extending channels and partial capture recesses. The shank includes a bone implantable body with an external helical wound thread and an upwardly extending capture structure. The capture structure includes at least one spline which extends radially outward and has a wedged surface that faces radially outward therefrom. The capture structure operably passes through a central bore of the retaining ring while the spline passes through a suitably shaped channel so that the spline becomes positioned above the head at which time the shank is rotated appropriately and the shank is drawn back downwardly so that the spline engages and seats in the capture recess. The head includes an internal cavity having a spherical shaped surface that mates with the ring surface and has a lower restrictive neck that prevents passage of the ring once the ring is seated in the cavity.

POLYAXIAL BONE SCREW WITH SPLINE CAPTURE CONNECTIONBackground of the Invention

1 The present invention is directed to a polyaxial bone
2 screw for use in spinal surgery and the like and especially
3 to such a screw adapted to receive a rod member and secure
4 the rod member to a vertebra or the like.

5 Many spinal surgery procedures require securing various
6 implants to bone and especially to vertebrae along the
7 spine. For example, elongate rods are often required that
8 extend along the spine to provide support to vertebrae that
9 have been damaged or weakened due to injury, disease or the
10 like. Such rods must be supported by certain vertebra and
11 support other vertebra. The most common mechanism for
12 providing such structure is to implant bone screws into
13 certain bones which then in turn support the rod or are
14 supported by the rod. Bone screws of this type may have a
15 fixed head relative to a shank thereof. In the fixed bone
16 screws, the head cannot be moved relative to the shank and
17 the rod must be favorably positioned in order for it to be
18 placed within the head. This is sometimes very difficult or
19 impossible to do so polyaxial bone screws are commonly used.

1 The polyaxial bone screws allow rotation of the head about
2 the shank until a desired rotational position is achieved
3 for the head relative to the shank after which the rod can
4 be inserted and the position of the head eventually locked
5 with respect to movement relative to the shank.

6 The present invention is directed to such swivel head
7 type bone screws and, in particular, to swivel head bone
8 screws having an open head that allows placement of the rod
9 member within the head and then subsequent closure by use of
10 a closure top, plug or the like to capture the rod in the
11 head of the screw.

12 Because such implants are for placement within the
13 human body, it is always desirable for the implant to have
14 as little effect on the body as possible. Consequently, it
15 is quite desirable for the implants to have a relatively
16 small profile both in height and width. It is also
17 desirable that the implants be lightweight.

18 Furthermore, it is desirable that the swivel head
19 implants be unlikely to unintentionally disassemble within
20 the body. It is very undesirable for pieces of the implant
21 to be free to move around within the body after surgery is
22 completed and it also assures that the implant retains an
23 ability to correct the structural problem for which it was

1 implanted. Furthermore, if the implant should slip or
2 become loose for some reason, it is still desirable for all
3 of the parts to remain together and not separate.

4 Consequently, it is desirable for there to be a
5 lightweight, low profile polyaxial bone screw which
6 assembles in such a manner that each subsequent piece locks
7 proceeding pieces within the overall structure, so that
8 there is less likelihood that the various pieces of the
9 structure will undesirably disassemble.

10

11 Summary of the Invention

12

13 The present invention is directed to a polyaxial bone
14 screw that comprises a shank, a head and a retainer ring
15 that operably cooperate with each other. The bone screw is
16 designed to allow the shank to be locked or secured in a
17 selected angular configuration with respect to the head,
18 while the head receives a rod member and while the shank is
19 implanted in a bone, such as a vertebra or vertebral body.

20 The shank has an implant body which includes an
21 external helically wound thread that is in turn attached by
22 a neck to a capture end with a capture or connector type
23 structure. The capture structure is positioned outside the

1 bone in use and has a radiused and cylindrically shaped
2 radially outer surface that has at least one radially
3 outwardly extending non helically wound projection or spline
4 thereon. The capture structure also has an upper axially
5 aligned and radiused dome that protrudes above the remainder
6 of the shank and above the ring during use to manipulate the
7 shank and to contact the rod. Further, in some embodiments
8 the shank includes off axis apertures, grooves, side slots
9 or the like for use by an installation tool with a mating
10 configured head for driving and rotating the shank into the
11 bone.

12 The head has a generally cylindrical shaped profile
13 with an upwardly open U-shaped channel formed therein so as
14 to effectively produce a lower base with two upstanding and
15 spaced arms. The inner surfaces of the arms have a
16 threadform thereon or another suitable guide and advancement
17 structure such as a helically wound flangeform for use in
18 closing the upper part of the channel. Located in the
19 interior of the base and coaxially aligned with the head is
20 a chamber having an interiorly facing partial spherical
21 shaped surface. The chamber further opens onto a bottom
22 surface of the head through a head lower wall bore forming a
23 constricted or restrictive neck sized and shaped to allow

1 passage of the capture structure therethrough.

2 The retainer ring includes an external partial
3 spherical or hemispherical surface that is sized and shaped
4 to be seated in and slidably engage the partial spherical
5 surface within the head, both having approximately the same
6 radius of generation. The ring also has an internal,
7 centrally located and axially extending ring bore sized and
8 shaped to receive the capture structure of the shank
9 therethrough. Further, the ring has a series of axially
10 extending channels positioned about and opening into the
11 central bore that are sized and shaped to allow sliding
12 passage of the shank splines entirely through the ring so
13 that the shank can be inserted through the ring while the
14 ring is positioned within the chamber in the head. The
15 channels are not helically wound about the bore and
16 preferably extend vertically or parallel to the axis of the
17 ring. The ring further includes a set of recesses that are
18 circumferentially spaced from the channels and that open
19 onto the upper part of the ring and into the bore, but do
20 not pass entirely through the ring and that can be entered
21 by the splines by drawing the shank with the splines thereon
22 axially downwardly with respect to the ring. In this
23 manner, the splines can be passed upwardly or uploaded

1 through the ring by sliding through the channels in
2 conjunction with the remainder of the shank capture and
3 after sliding completely through the bore, the shank is then
4 rotated a certain number of degrees relative to the head,
5 and then drawn back downwardly or downloaded so that the
6 splines encounter and engage the recesses wherein the
7 splines are captured by the ring. The splines preferably
8 have a wedge-shaped surface thereon which pushes not only
9 downwardly, but radially outward against the retainer or
10 capture ring when force is applied to the top of the shank.

11 During assembly, the ring is placed through the U-
12 shaped channel into the chamber having the partial spherical
13 surface and then rotated so that the ring hemispherical
14 surface mates with and slidably engages the head partial
15 spherical surface. Subsequently, the shank capture
16 structure is uploaded into and extended through the ring
17 central bore, while the splines pass through the channels.
18 The shank is then rotated relative to the ring and then the
19 shank is moved in an axially reverse direction opposed to
20 uploading while the splines are positioned over the recesses
21 so as to be aligned with the recesses and not aligned with
22 the channels and so that the splines then enter the
23 recesses. The ring with connected shank effectively

1 thereafter form a ball and socket joint with the head and
2 allow free rotation to a selected angular configuration
3 until later locked in the selected configuration. The
4 shank, head and ring are then placed in a bone by screwing
5 the shank body into the bone using the apertures on the top
6 of the shank or alternative structure such as grooves or
7 faceted surfaces on the outside of the portion of the shank
8 extending above the ring.

9 Thereafter, a rod is placed in the U-shaped channel and
10 captured therein by closing the channel by use of a closure
11 top or plug having a threadform or other external guide and
12 advancement structure that mates with and advances along
13 mating guide and advancement structure of the arms of the
14 head, when the closure top is rotated. Preferably, the
15 closure top also includes a break-off head that provides
16 purchase for a tool for rotation and torquing of the closure
17 top to a preselected torque and that such torque is
18 transferred and applied as pressure against the rod received
19 in the head. Once the preselected torque is achieved, the
20 break-off head breaks away from the closure top. Under
21 pressure from the closure top, the rod pushes against the
22 dome of the shank that extends above the ring and thereby
23 urges the splines downwardly. Because of the wedge shaped

1 structure of the splines, the splines push both downwardly
2 and outwardly upon the retainer or capture ring, when force
3 is applied to the dome, so as to frictionally engage and
4 positively seat the retaining ring in the cavity and prevent
5 further rotation in conjunction with the shank dome
6 frictionally engaging the rod under pressure. In
7 particular, the hemispherical surface of the ring abuttingly
8 and frictionally mates with the integral hemispherical
9 interior facing surface of the head, while the dome
10 frictionally mates with the rod under pressure from the rod
11 so as to lock the shank and ring in a selected angular
12 configuration relative to the head. The shank, in this
13 manner, can be locked in a configuration selected from an
14 infinite number of angular configurations with respect to
15 the head. Once fully assembled in this manner, unless a
16 part breaks into pieces, the shank cannot disengage from the
17 capture ring and the head without disassembly of the device
18 by reversing the process or breaking the parts.

19

20 Objects and Advantages of the Invention

21

22 Therefore, the objects in the present invention are: to
23 provide a polyaxial bone screw having a bone implantable

1 shank that can be locked in a fixed position relative to a
2 head of the bone screw; to provide such a bone screw having
3 a capture or retaining ring having a partial external
4 hemispherical surface that seats within a partial internal
5 spherical shaped chamber surface within and integrally
6 formed with a head of the bone screw to form a ball and
7 socket joint and wherein the shank is securable to the
8 retaining ring; to provide such a bone screw wherein the
9 shank has at least one spline that extends radially outward
10 from a capture end thereof and wherein the retaining ring
11 has a central bore that receives the capture end while a
12 channel opening into the bore allows the spline to slide
13 through the ring so as to pass above the ring, at which time
14 the shank can be rotated a select number of degrees and
15 further wherein the retaining ring has a capture recess that
16 receives the spline on further downward or reverse movement
17 along the axis of the shank relative to the retainer ring;
18 to provide such a bone screw wherein the shank has an
19 upwardly protruding radiused dome which has a radius that in
20 one embodiment is substantially less than the radius of the
21 external hemispherical surface on the retainer ring and that
22 extends upwardly within the head chamber so as to reduce
23 height of the screw head and further, is operably positioned

1 so as to engage a rod member received in the head so as to
2 receive downward pressure from the rod during assembly; to
3 provide such a bone screw wherein a closure top is used to
4 close a channel in the bone screw head after receiving the
5 rod and to apply pressure to the rod member that in turn,
6 exerts pressure on the dome of the shank so as to urge each
7 spline into an abutting and tight relationship with the
8 retaining ring and to urge the retaining ring both
9 downwardly and radially outwardly, so that the external
10 hemispherical surface on the retaining ring more completely
11 contacts and frictionally engages the internal spherical
12 surface within the chamber of the head thereby providing
13 improved mechanical fixation to prevent further rotation of
14 the shank relative to the head; to provide such a bone screw
15 which has a comparatively low profile and which is
16 comparatively light in weight; to provide such a bone screw
17 that resists disassembly thereof except by removal of the
18 closure top; to provide such a bone screw wherein the
19 closure top can be removed by the surgeon should disassembly
20 be desired at which time the entire structure can be easily
21 and quickly disassembled and removed from the bone, if
22 necessary; to provide such a bone screw wherein the shank is
23 locked in position relative to the head during usage in a

1 locked or fixed configuration; to provide such a bone screw
2 wherein the shank cannot disassemble from the head and the
3 retaining ring once the screw is fully assembled except if
4 the closure top is removed and the device is disassembled by
5 the surgeon; to provide such a bone screw which is easy to
6 use and extremely effective for the intended usage thereof.

7 Other objects and advantages of this invention will
8 become apparent from the following description taken in
9 conjunction with the accompanying drawings wherein are set
10 forth, by way of illustration and example, certain
11 embodiments of this invention.

12 The drawings constitute a part of this specification
13 and include exemplary embodiments of the present invention
14 and illustrate various objects and features thereof.

15

16 Brief Description of the Drawings

17 Fig. 1 is an exploded perspective view of three
18 elements of a polyaxial bone screw in accordance with the
19 present invention, including a shank, a head, and a
20 retaining ring.

21 Fig. 2 is an enlarged top plan view of the retaining
22 ring.

23 Fig. 3 is an enlarged perspective view of the retaining

1 ring.

2 Fig. 4 is an enlarged side elevational view of the
3 retaining ring.

4 Fig. 5 is an enlarged bottom plan view of the retaining
5 ring.

6 Fig. 6 is an enlarged cross-sectional view of the head,
7 taken along line 6-6 of Fig. 1, illustrating the retaining
8 ring being inserted into the head.

9 Fig. 7 is an enlarged cross-sectional view of the head
10 similar to Fig. 6, showing the retaining ring seated in the
11 head.

12 Fig. 8 is a cross-sectional view of a vertebra
13 illustrating the shank implanted therein.

14 Fig. 9 is an enlarged and fragmentary perspective view
15 of the shank, head and retainer ring during assembly and
16 just prior to the retainer ring being placed over the shank.

17 Fig. 10 is an enlarged, fragmentary and perspective
18 cross-sectional view of the head similar to Fig. 6,
19 illustrating splines on a capture end of the shank that have
20 been inserted through channels in the retainer ring and are
21 positioned upwardly in the head above the retainer ring.

22 Fig. 11 is a cross-sectional view of the head, similar
23 to Fig. 10, showing the upper capture end of the shank with

1 the splines lowered into receiving recesses in the ring and
2 positioned therein.

3 Fig. 12 is a cross sectional view of the head and a top
4 plan view of the shank and ring corresponding to the
5 positioning shown in Fig. 10.

6 Fig. 13 is a cross sectional view of the head and a top
7 plan view of the shank and ring corresponding to the
8 positioning shown in Fig. 11.

9 Fig. 14 is a side elevational view of the head, ring
10 and shank, illustrating the shank swinging or rotating from
11 one position shown in solid lines to a second position shown
12 in phantom lines.

13 Fig. 15 is a fragmentary and partially exploded view of
14 a complete polyaxial bone screw assembly, prior to final
15 assembly and illustrating a rod received in the head and a
16 closure top with a break-off head, prior to the closure top
17 being rotatably inserted into the head.

18 Fig. 16 is a fragmentary and enlarged front elevational
19 view of the bone screw assembly fully assembled and
20 illustrating the head with the rod received therein and with
21 the closure top fully inserted and biasing against the rod
22 that in turn biases against the top of the shank.

23 Fig. 17 is an enlarged and fragmentary cross-sectional

1 view of the bone screw assembly with rod inserted therein,
2 taken along line 17-17 of Fig. 16.

3 Fig. 18 is an enlarged cross-sectional view of the
4 vertebra, head, rod and closure top, taken along line 18-18
5 of Fig. 17 showing the shank implanted in the vertebra and
6 with the bone screw assembly in a completely assembled and
7 operational configuration with the shank locked in an angled
8 orientation with respect to the head.

9 Fig. 19 is a perspective view of a modified retainer
10 ring of a first modified embodiment in accordance with the
11 present invention.

12 Fig. 20 is a perspective view of a second modified
13 embodiment of the present invention illustrating a
14 cannulated shank having four splines and a hex tool
15 engageable head for manipulating the shank.

16 Fig. 21 is a perspective view of a ring for use in
17 accordance with the second modified embodiment of the
18 invention and the shank of Fig. 20.

19

1 Detailed Description of the Invention

2

3 As required, detailed embodiments of the present
4 invention are disclosed herein; however, it is to be
5 understood that the disclosed embodiments are merely
6 exemplary of the invention, which may be embodied in various
7 forms. Therefore, specific structural and functional
8 details disclosed herein are not to be interpreted as
9 limiting, but merely as a basis for the claims and as a
10 representative basis for teaching one skilled in the art to
11 variously employ the present invention in virtually any
12 appropriately detailed structure.

13 The reference number 1 generally represents a polyaxial
14 bone screw apparatus or assembly in accordance with the
15 present invention operably utilized by implantation into a
16 vertebra 2 and in conjunction with a longitudinal member or
17 rod 3 so as to operably secure the rod 3 in a fixed position
18 relative with respect to the vertebra 2.

19 The fully assembled bone screw assembly 1 comprises a
20 shank 6, a head 7, a retainer ring 8 and a closure top 9.
21 The shank 6 is perhaps best seen in Figs. 1 and 8. The
22 shank 6 is elongate and has a lower body 15 ending in a tip
23 16. The shank body 15 has a helically wound bone

1 implantable thread 17 extending from near the tip 16 to near
2 the top 18 of the body 15 and extending radially outward
3 therefrom. During use, the body 15 utilizing the thread 17
4 is implanted into the vertebra 2, as is seen in Fig. 18.
5 The shank 6 has an elongated axis of rotation generally
6 identified by the reference letter A. It is noted that the
7 reference to the words top and bottom as used herein refers
8 to the alignment shown in the various drawings, as well as
9 the normal connotations applied to such devices, and is not
10 intended to restrict positioning of the assembly 1 in actual
11 use.

12 Axially extending outward and upward from the shank
13 body 15 is a neck 20 of reduced radius as compared to the
14 adjacent top 18 of the body 15. Further extending axially
15 and outwardly from the neck 20 is a capture end or structure
16 21 operably providing a connective or capture structure free
17 from the bone or vertebra 2 for joining with the head 7.
18 The capture structure 21 has a radially outer cylindrical
19 surface 22. The cylindrical surface 22 has at least one
20 non-helically wound and radially outward extending
21 projection or spline 24 that extends beyond the surface 22.
22 In the embodiment shown in Figs. 1 through 18, the capture
23 structure 21 has three such splines 24. The splines 24 are

1 located near an upper end 25 of the shank 6 and are equally
2 circumferentially centered and spaced thereabout so as to be
3 centered at approximately 120 degree intervals relative to
4 each other. Each of the splines 24 has a triangular shaped
5 profile and a front wedge forming face 27 that slopes
6 downwardly and radially inwardly from near the upper end 25
7 of the shank 6. Also located on the shank upper end 25 is a
8 centrally located, axially extending and upwardly directed
9 projection or dome 29 that is centrally radiused so as to
10 have a first radius.

11 The shank upper end 25 still further includes at least
12 one tool engagement aperture for engagement by a tool
13 driving head (not shown) that is sized and shaped to fit
14 into the apertures for both driving and rotating the shank 6
15 into the vertebra 2. In the illustrated embodiment, a pair
16 of apertures 31 located in spaced relationship to each
17 other, the dome 29 and the shank axis of rotation A are
18 located on the shank upper end 25. The apertures 31 extend
19 into the shank capture structure 21 parallel to the axis A.
20 It is foreseen that various numbers of apertures, slots or
21 the like may be utilized in accordance with the invention
22 for engaging the driving tool of suitable and similar mating
23 shape, or that the outer surface of the upper axial

1 projection can be grooved or formed with a faceted surface
2 that can be driven by a mating tool that goes over the
3 surface.

4 The head 7 has a generally cylindrical shaped profile,
5 as is seen in Fig. 1, although the head 7 is not a solid
6 cylinder. The head 7 has a base 33 with a pair of
7 upstanding arms 34 and 35 forming a U-shaped channel 38
8 between the arms 34 and 35 with a lower seat 39 having
9 substantially the same radius as the rod 3 for operably
10 snugly receiving the rod 3. Each of the arms 34 and 35 has
11 an interior surface 41 that includes a partial helically
12 wound guide and advancement structure 42. In the
13 illustrated embodiment, the guide and advancement structure
14 42 is a partial helically wound flangeform which will mate
15 under rotation with a similar structure on the closure top
16 9, as described below. However, it is foreseen that the
17 guide and advancement structure 42 could alternatively be a
18 V-shaped thread, a buttress thread, a reverse angle thread
19 or other thread like or non-thread like helically wound
20 advancement structures for operably guiding under rotation
21 and advancing the closure top between the arms 34 and 35.
22 Tool engaging apertures 44 are formed on the outsides of the
23 arms 34 and 35 for holding the head 7 during assembly.

1 A chamber or cavity 47 is located within the head base
2 33 that opens upwardly into the U-shaped channel 38. The
3 cavity 47 includes a partial spherical shaped surface 48, at
4 least a portion of which forms a partial internal
5 hemispherical seat 49 for the ring 8, as is described
6 further below. A bore 52 further communicates between the
7 cavity 47 and the bottom exterior of the base 33 and is
8 coaxial with a rotational axis B of the head 7. The bore 52
9 at least partially defines a restrictive neck 54 that has a
10 radius which is smaller than the radius of the ring 8, as
11 will be discussed further below, so as to form a restrictive
12 constriction at the location of the neck 54 relative to the
13 retainer ring 8 to prevent the ring 8 from passing between
14 the cavity 47 and the lower exterior of the head 7. A bevel
15 55 extends between the neck 54 and the bottom exterior of
16 the base 33. The hemispherical shaped surface 48 has a
17 second radius associated therewith.

18 The retainer ring 8 which is best seen in Figs. 2
19 through 5 has an operational central axis which is the same
20 as the elongate axis A associated with the shank 6, but when
21 the ring 8 is separated from the shank 2, the axis of
22 rotation is identified as axis C, such as in Fig. 4. The
23 retainer ring 8 has a central bore 57 that passes entirely

1 through the retainer ring 8 from a top surface 58 to a
2 bottom surface 59 thereof. The bore 57 is sized and shaped
3 to fit snugly but slidably over the shank capture structure
4 cylindrical surface 22 in such a manner as to allow sliding
5 axial movement therebetween under certain conditions, as
6 described below. Three axially aligned channels 60 are
7 spaced from the axis C and extend radially outward from the
8 bore 57 and into the wall of the retainer ring 8 so as to
9 form three top to bottom grooves or slots therein. Backs 61
10 of the channels 60 are the same radial distance from the
11 axis C as the distance the outermost portion of the splines
12 24 extend from the axis A of the shank 6. The channels 60
13 are also circumferentially angularly spaced equivalent to
14 and have a width that corresponds with the splines 24. In
15 this manner, the shank capture structure 21 can be uploaded
16 into the ring 8 by axially sliding the capture structure 21
17 through the ring central bore 57 whenever the splines 24 are
18 aligned with the channels 60 or are in an aligned
19 configuration, as seen in Fig. 12.

20 The retainer ring 8 also has three capture partial
21 slots, receivers or recesses 62 which extend radially
22 outward from the upper part the bore 57 and that do not
23 extend the entire length from top to bottom of the retainer

1 ring 8, but rather only open on the top surface 59 and
2 extend partly along the height of the ring 8 thereof. The
3 recesses 62 are sized and positioned and shaped to receive
4 the splines 24 from above when the splines 24 are in a non-
5 aligned configuration relative to the channels 60. That is,
6 each of the recesses 62 has a width that approximates the
7 width of the splines 24 and has a mating wedge engaging
8 surface 64 that is shaped similar to the spline wedge
9 forming faces 27, so that the splines 24 can be slidably
10 received into the recesses 62 from above by axially
11 translating or moving the shank 6 downward relative to the
12 ring 8 when the splines 24 are positioned above the recesses
13 62 in a recess aligned configuration.

14 In some embodiments, the wedge engaging faces 64 slope
15 slightly greater than the wedge forming faces 27 on the
16 splines 24 so that there is additional outward wedging that
17 takes place when the splines 24 are urged downwardly into
18 the recesses 62, as further discussed below.

19 In this manner the shank capture structure 21 can be
20 uploaded or pushed upwardly through the retainer ring
21 central bore 57 so as to clear the top 58 of the retainer
22 ring 8, rotated approximately 60 degrees and then downloaded
23 or brought downwardly so that the splines 24 become located

1 and captured in the recesses 62. Once the splines 24 are
2 seated in the recesses 62 the shank 6 cannot move further
3 axially downward relative to the ring 8. Preferably, the
4 retainer ring 8 is constructed of a metal or other material
5 having sufficient resilience and elasticity as to allow the
6 ring 8 to radially expand slightly outward by downward
7 pressure of the splines 24 on the recesses 62 under pressure
8 from structure above, as will be discussed further below.
9 This produces a slight outward radial expansion in the ring
10 8 at the location of the recesses 62.

11 The ring 8 has a radially outer partial hemispherical
12 shaped surface 65 sized and shaped to mate with the partial
13 spherical shaped surface 48 and having a third radius
14 approximately equal to the second radius associated with the
15 surface 48. The ring third radius is substantially larger
16 than the first radius associated with the dome 29 and also
17 substantially larger than the radius of the neck 54.

18 The longitudinal member or elongate rod 3 can be any of
19 many different types of implants utilized in reconstructive
20 spinal surgery and the like, but is normally a cylindrical
21 elongate structure having a cylindrical surface 66 of
22 uniform diameter. The rod 3 is preferably sized and shaped
23 to snugly seat near the bottom of the U-shaped channel 38

1 and, during normal operation, will be positioned slightly
2 above the bottom of the channel 38. In particular, the rod
3 3 normally engages the shank dome 29, as is seen in Fig. 16
4 and urges the dome 29 and, consequently, the shank 6
5 downwardly when the entire assembly 1 is fully assembled.

6 The closure top 9 can be any of the variety of
7 different types of closure tops for use in conjunction with
8 the present invention with suitable mating structure on the
9 upstanding arms 34 and 35. The illustrated closure top 9
10 has a generally cylindrical shaped base 67 with an upwardly
11 extending break-off head 68. The base 67 includes a
12 helically wound guide and advancement structure 71 that is
13 sized, shaped and positioned so as to engage the guide and
14 advancement structure 42 on the arms 34 and 35 to allow the
15 closure top 9 to be rotated into the head 7 and, in
16 particular, to close the top of the U-shaped channel 38 to
17 capture the rod 3, see Fig. 16, preferably without splaying
18 of the arms 34 and 35. The closure top 9 also operably
19 biases against the rod 3 by advancement and applying
20 pressure to the rod 7 under torquing, so that the rod 3 is
21 urged downwardly against the shank dome 29. Downward
22 biasing of the shank dome 29 operably produces a frictional
23 engagement between the rod 3 and dome 29 and also urges the

1 splines 24 downwardly to both bias downwardly and radially
2 outwardly against the retainer ring 8, so as to snugly and
3 frictionally seat the retainer ring external hemispherical
4 surface 65 into and quite tightly against the partial
5 internal spherical surface 48 of the head 7 and further so
6 as to lock the shank 6 and retainer ring 8 in a fixed
7 position relative to the head 7.

8 The closure top break-off head 68 is secured to the
9 base 67 at a neck 73 that is sized and shaped so as to break
10 away at a preselected torque that is designed to properly
11 seat the retainer ring 8 in the head 7. The break-off head
12 68 includes an external faceted surface 75 that is sized and
13 shaped to receive a conventional socket head of a driving
14 tool (not shown) to rotate and torque the closure top 9.
15 The break-off head 68 also includes a central bore 77 and
16 grooves 78 for operably receiving the manipulating tools.

17 The closure top 9 also includes removal structure
18 comprising a pair of off axis pass through apertures 81 that
19 extend from top to bottom of the base 67. The apertures 81
20 are located parallel to an axis of rotation axis D of the
21 closure top 9, but are radially spaced away therefrom. The
22 apertures 81 become accessible from the top of the base 67
23 after the break-off head 68 breaks away from the base 67, as

1 is seen in Fig. 18. The apertures 81 are designed to
2 receive a tool having a face that mates with and is
3 insertable into the apertures 81 for rotating the closure
4 top base 67 subsequent to installation so as to provide for
5 removal, if necessary.

6 While the embodiment illustrated in Figs. 1 through 18
7 includes three splines 3, it is foreseen that a shank 6 with
8 a single spline would be operable within the scope of the
9 invention. However, in some embodiments additional splines
10 3 may provide a more even distribution of force upon the
11 ring 8 and reduce the likelihood of failure because of hoop
12 strain or the like. Paired and opposed splines in certain
13 embodiments may provide a more even distribution of forces.
14 While any number of splines are foreseen as possible for use
15 under the present invention, the requirement that the
16 splines must get smaller as their number gets larger, limits
17 the maximum number at some point. However, the concept
18 appears viable until that point is reached. It is also
19 noted that additional channels and recesses allow the ring
20 to be more elastic in certain embodiments.

21 When the polyaxial bone screw assembly 1 is placed in
22 use in accordance with the invention the retainer ring 8 is
23 normally first slid through the head U-shaped channel 38, as

1 is shown in Fig. 6, and into and seated in the chamber 47,
2 as is seen in Fig. 6. Thereafter, the retainer ring 8 is
3 rotated 90 degrees so as to be coaxial with the head 7 and
4 so that the retainer ring outer surface 65 snugly but
5 slidably mates with the head interior spherical shaped
6 surface 48, as is seen in Fig. 7.

7 With reference to Figs. 9, 10, and 12 the ring 8 in the
8 head 7 is slid over the shank capture structure 21 so that
9 the splines 24 slide upwardly through and above respective
10 channels 60 so that the splines 24 are then located, at
11 least partially, in the U-shaped channel 38 and chamber 47
12 above the retainer ring 8, as is shown in Fig. 10. The
13 shank 6 is then rotated 60 degrees relative to the head
14 about the axis A and the translational direction of the
15 shank 6 is reversed so that it goes downwardly or axially
16 with respect to the head 7, as is seen in Figs. 11 and 13
17 and the splines 24 enter the recesses 62. At this point
18 there is no substantial outward or downward pressure on the
19 retainer ring 8 and so the retainer ring 8 is easily
20 rotatable along with the shank 6 within the chamber 47 and
21 such rotation is of a ball and socket type limited by
22 engagement of the shank neck 20 with the ring restrictive
23 neck 54. Rotation is shown in Fig. 14 where it is

1 illustrated that the shank 6 can be rotated through a
2 substantial angular rotation relative to head 7, both from
3 side to side and from front to rear so as to substantially
4 provide a universal or ball joint wherein the angle of
5 rotation is only restricted by engagement of the neck 20
6 with the neck 54 on the head 7.

7 The assembly 1 is then normally screwed into a bone,
8 such as vertebra 2, by rotation of the shank 6 using a
9 suitable driving tool (not shown) that operably drives and
10 rotates the shank 6 by engagement thereof at the apertures
11 31. The relative position of the shank 6 is shown in Fig. 8
12 with a phantom vertebra 2. Normally, the head 7 and ring 8
13 are assembled on the shank 6 before placing the shank 6 in
14 the vertebra 2, but in certain circumstances, the shank 6
15 can be first implanted with the capture structure 21
16 extending proud to allow assembly and then the shank 6 can
17 be further driven into the vertebra 2.

18 A rod 3 is eventually positioned within the head U-
19 shaped channel 38, as is seen in Fig. 15, and the closure
20 top 9 is then inserted into and advanced between the arms 34
21 and 35 so as to bias or push against the rod 3. The break-
22 off head 68 of the closure top 9 is torqued to a preselected
23 torque, for example 90 inch pounds, to urge the rod 3

1 downwardly. The shank dome 29, because it is radiused and
2 sized to extend upwardly into the U-shaped channel 38, is
3 engaged by the rod 3 and pushed downwardly when the closure
4 top 9 pushes downwardly on the rod 3, as is seen in Fig. 16.

5 The downward pressure on the shank 6 in turn urges the
6 splines 24 downwardly which exerts both a downward and
7 outward thrust on the retainer ring 8, as is seen in the
8 configuration shown in Fig. 17. The polyaxial bone screw
9 assembly 1 including rod 3 and shown positioned in a
10 vertebra 2 is illustrated in Fig. 18. The axis A of the
11 bone screw shank 6 is illustrated as not being coaxial with
12 the axis B of the head 7 and the shank 6 is locked in this
13 angular locked configuration. Other angular configurations
14 can be achieved, as required during installation surgery due
15 to positioning of the rod 3 or the like.

16 If removal of the assembly 1 is necessary, the assembly
17 1 can be disassembled by using a driving tool mating with
18 the closure top apertures 81 to rotate the base 67 and
19 reverse the advancement thereof in the head 7 and then
20 disassembly of the remainder of the assembly 1 in reverse
21 mode in comparison to the procedure described above for
22 assembly.

23

1 Illustrated in Fig. 19 is a second embodiment of a
2 retainer ring 88 in accordance with the present invention.
3 The retainer ring 88 is quite similar to the retainer ring 8
4 of the previous embodiment except that it is noncontinuous
5 and has a radially extending space or gap 90 from top to
6 bottom along one side thereof. The gap 90 allows for
7 expansion without requiring stretching of the material of
8 construction of the ring 88, as is the case with the
9 previous embodiment. The ring 88 includes a central bore
10 92, spline channels 93 and spline receivers 94 which are all
11 similar to the similar structures described for the previous
12 embodiment. The retainer ring 88 also has a partial
13 hemispherical shaped surface 95 on the outer side thereof.

14 Illustrated in figures 20 and 21 are elements of a
15 third embodiment of the present invention including a shank
16 106 and a capture ring 107 which are used otherwise in the
17 same manner as has been described in the first embodiment
18 and, in particular, with a head such as head 7 which is not
19 further described herein. The shank 106 is similar to the
20 shank 6 in that it has a body 110 with a helically round
21 thread 111 thereon and a capture structure 114 joined to the
22 body 110 by a neck 115. The principle differences between
23 the present embodiment and the first embodiment is that the

1 capture structure 114 includes four splines 120 that are
2 similar in shape to the splines 24 of the first embodiment,
3 but the splines 120 are centered and located at 90 degrees
4 from one another such that there is a pairing of opposed
5 splines 120 and the dome of the prior embodiment is replaced
6 with an axial extension 122. Each of the splines 120
7 includes a wedge face 121. The extension 122 has a faceted
8 surface 123 that extends parallel to the axis of the shank
9 106 and that is sized and shaped to receive a hex head
10 driving tool (not shown) for driving the shank 106 into
11 bone. The extension 123 also has a radiused upper surface
12 124. The shank 106 also has an axial extending cannulation
13 or bore 125 that extends entirely through the length of the
14 shank 106.

15 The capture ring 107, shown in Fig. 21, is otherwise
16 similar to the retainer ring 8 except that it includes a set
17 of four channels 126 and four recesses 127 that are sized
18 shaped and positioned so as with respect to the channels 126
19 to allow the splines 120 to slidingly pass upwardly through
20 and with respect to the recesses 127 to capture and receive
21 the splines 120, as they move axially downwardly. The ring
22 107 has a partial hemispherical outer surface 129 that mates
23 with the corresponding surface in the head 7 in the manner

1 described for the first embodiment.

2 It is to be understood that while certain forms of the
3 present invention have been illustrated and described
4 herein, it is not to be limited to the specific forms or
5 arrangement of parts described and shown.

C L A I M S

What is claimed and desired to be secured by Letters Patent is as follows:

1. A polyaxial bone screw comprising:
 - (a) a shank having a body adapted to be implanted in a bone and a capture structure extending from said body; said capture structure including at least one spline that extends radially outward therefrom;
 - (b) a head having a channel adapted to receive a rod member and a base having a cavity with a partial spherical surface and communicating with said channel through an upper opening; said cavity communicating with an exterior of said head through a lower opening sized and shaped to receive said shank capture structure therethrough;
 - (c) a retainer ring that is receivable into said head cavity and having an external partial spherical surface sized and shaped to be seated on said head partial spherical surface; said ring having a central bore with an axial pass through ring

channel opening into said bore for each spline respectively; said ring bore and ring channels being sized and shaped to allow said shank capture structure to axially pass therethrough and then be rotated; said retainer ring also having a capture recess for each spline sized and shaped to receive and capture a respective spline when said shank is subsequently moved axially downward relative to said retainer ring such that said capture structure is captured by said ring, but said shank can be rotated relative to said head in an unlocked assembly configuration; and

- (d) a closure top for operably urging said shank downward so as to frictionally engage said ring surface with said head surface so as to lock said shank in position relative to said head in a locked configuration.

2. The screw according to Claim 1 wherein:

- (a) said shank has at least two splines circumferentially equally spaced.

3. The screw according to Claim 1 wherein:
 - (a) said shank has at least four splines circumferentially equally spaced.

4. The screw according to Claim 1 wherein:
 - (a) said shank capture structure includes an upward extension having a radiused dome sized and shaped so as to be adapted to engage a rod member when received in said head and wherein said closure top is adapted to operably urge the rod member against said dome upon said closure top being operably positioned in said head.

5. The screw according to Claim 4 wherein:
 - (a) said dome has a radius that is substantially less than the radius of said retainer ring hemispherical surface.

6. The screw according to Claim 1 wherein:
 - (a) said head includes upstanding spaced arms forming a channel adapted to receive the rod member and having guide and advancement structures on the inside of said arms; and

- (b) said top operably is positioned between said arms to close said channel and includes guide and advancement structure mating with the guide and advancement structures on said arms to allow said closure top to be rotated into said head and to be adapted to bias against the rod member located therein.
7. The screw according to Claim 6 in combination with:
- (a) a rod received in said U-shaped channel.
8. The screw according to Claim 1 wherein:
- (a) said head lower opening has a restrictive neck that is smaller in radius than said retainer ring.
9. The screw according to Claim 1 wherein:
- (a) said ring loads into said head through said upper opening and said shank loads into said head through said lower opening.
10. The screw according to Claim 1 wherein:
- (a) said ring is a split ring having a radially extending gap therealong.

11. In a polyaxial bone screw having a head and a shank, the improvement comprising:
 - (a) further including a capture ring sized and shaped to be received within said head and having a central bore with at least one axially aligned channel extending radially outward from said bore; and
 - (b) said shank having a capture end having a radially outward extending spline associated with each channel; said shank capture end being sized and shaped to pass through said bore with each of said splines, such that each of said splines is thereafter positioned above said ring; said shank being thereafter axially rotatable so that each of said splines is non aligned with a respective channel thereby capturing said shank relative to said ring.

12. The bone screw according to Claim 11 including at least two channels and at least two splines sized and shaped and positioned to slidingly mate with respective channels when in an aligned configuration.

13. The bone screw according to Claim 11 wherein:
 - (a) said shank includes an upper projection that extends above said ring after said shank and ring are joined; and including
 - (b) a closure mechanism for said head; said closure mechanism biasing against said projection when said bone screw is assembled so as to urge each of said splines against said ring.

14. The screw according to Claim 13 wherein:
 - (a) said projection is a dome having a first radius of curvature that is smaller than a second radius of curvature associated with said ring.

15. The screw according to Claim 11 wherein;
 - (a) said head has an inner chamber that has a partial spherical surface substantially having the same radius as a partial hemispherical surface on said ring; said ring operably seating in said head chamber and on said head surface.

16. The screw according to Claim 15 wherein:
- (a) said chamber opens onto an exterior of said head through a neck sized and shaped to receive said shank; said shank being operably at least partially received through said neck; and
 - (b) said neck is smaller in diameter than said ring.
17. The screw according to Claim 16 wherein:
- (a) said head has a rod receiving channel; and including
 - (b) a rod operably positioned in said rod channel and operably engaging said shank;
 - (c) a closure top for operably closing said rod channel and biasing against said rod.
18. The screw according to Claim 11 wherein:
- (a) said ring includes a spline receiving recess for each of said splines; each of said recesses being circumferentially spaced from a respective ring spline channel and operably capturing a respective spline therein when such a spline is aligned with a respective recess and inserted from above said ring.

19. In a polyaxial bone screw having a shank with a threaded body portion and a capture component joinable by a connection mechanism; the improvement wherein said capture mechanism comprises:
- (a) a radially outward extending spline located on a capture end of said shank body portion;
 - (b) a passthrough bore located in said capture component and including a radially outward extending channel; and
 - (c) said bore being sized and shaped to slidingly receive and allow passage of said shank capture end with said spline through said bore and channel in an aligned configuration; said shank body portion being thereafter axially rotatable relative to said capture component to position said spline in a non aligned configuration wherein said spline will not pass through said channel.

20. The bone screw according to Claim 19 wherein:
- (a) said capture component includes a capture recess for said spline that is only accessible when said spline is not aligned with said channel in said non aligned configuration.
21. A polyaxial bone screw having:
- (a) a head;
 - (b) a shank with a threaded body axially adjoining a capture end; said capture end having a circular cross section with at least one non helically wound and radially outward extending spline; and
 - (c) a capture member having a bore with a radially outward positioned channel; said bore and said channel being sized and shaped to slidingly receive said shank capture end and spline when in an aligned configuration; said shank being axially rotatable relative to said capture member after passage of said capture end and spline through said bore and channel to a non aligned configuration wherein said spline is not aligned with said channel and in a non aligned configuration thereby joining said shank to said

capture member.

22. The bone screw according to Claim 21 wherein:
- (a) said capture member includes a capture recess for receiving and capturing said spline in said channel non aligned configuration.
23. The bone screw according to Claim 21 wherein:
- (a) said head includes a cavity with an integral partial spherical shaped surface; and
 - (b) said capture member includes an outer surface that is sized and shaped to be rotatably received in said head surface.
24. The bone screw according to Claim 23 including:
- (a) a rod channel for receiving a rod member; and
 - (b) a locking closure top for operably locking said rod and said capture member in a fixed position relative to said head.

25. The bone screw according to Claim 23 wherein:
- (a) said cavity has a lower neck that operably receives said shank capture end and said neck has a radius associated therewith that is smaller than a radius of said capture member, so as to prevent passage of said capture member therethrough when said capture member is in said head cavity.

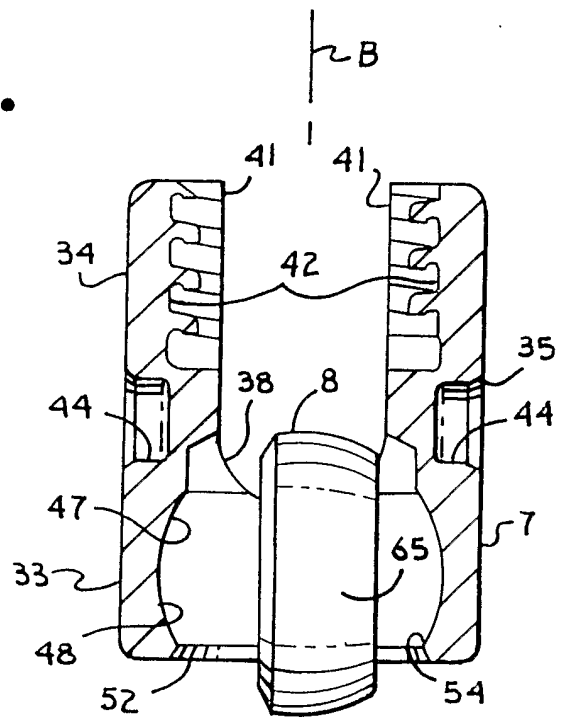
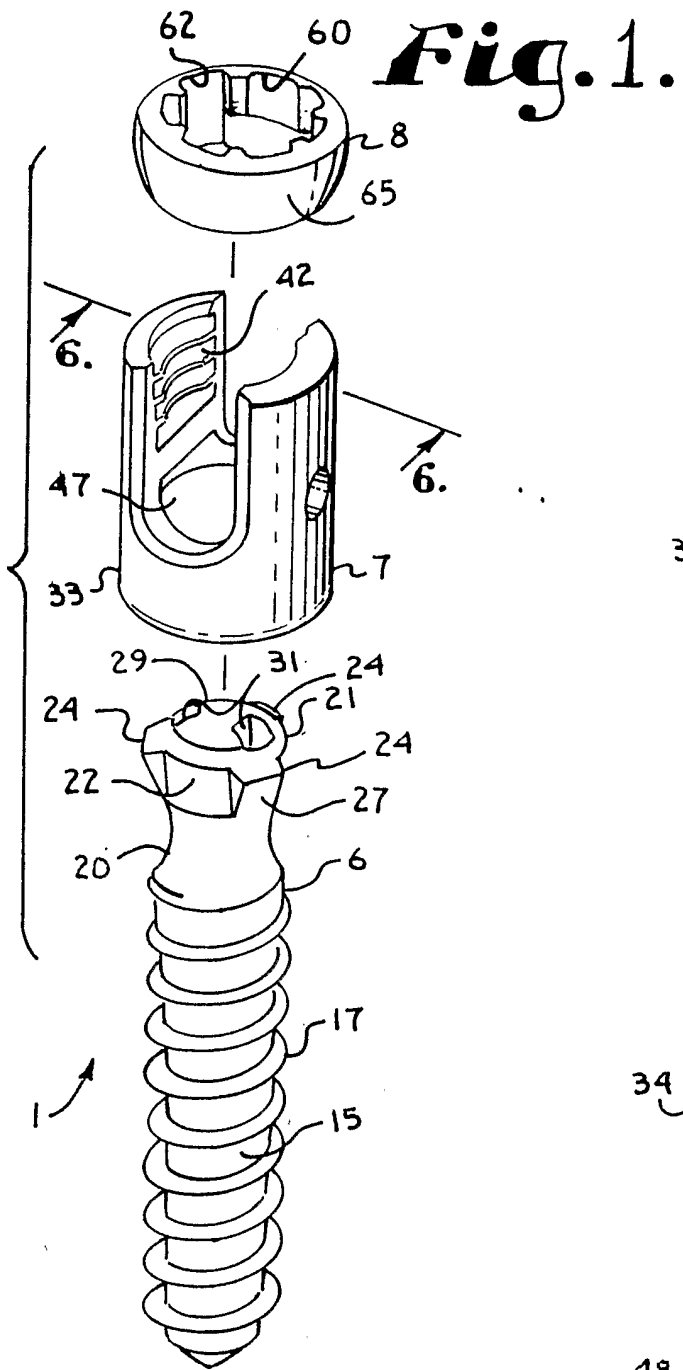
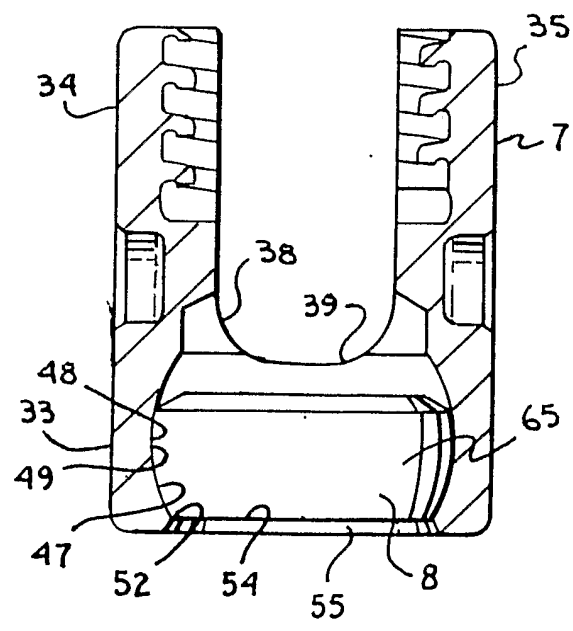


Fig. 6.

Fig. 7.



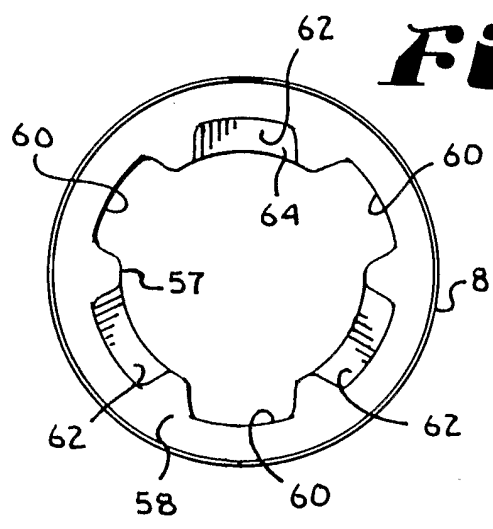


Fig. 2.

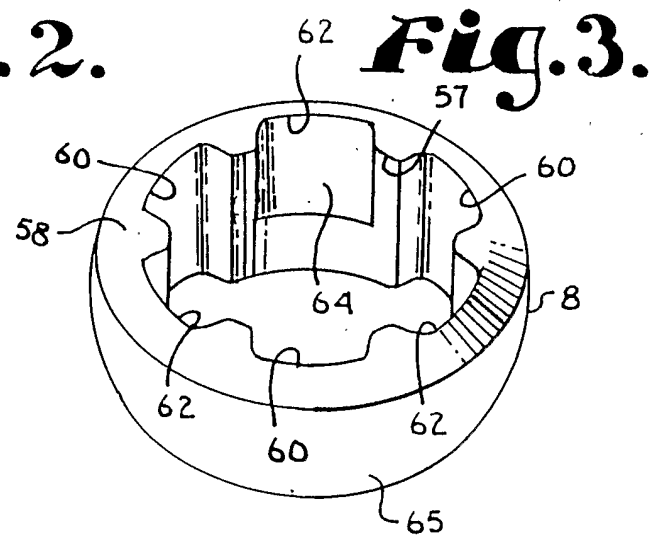


Fig. 3.

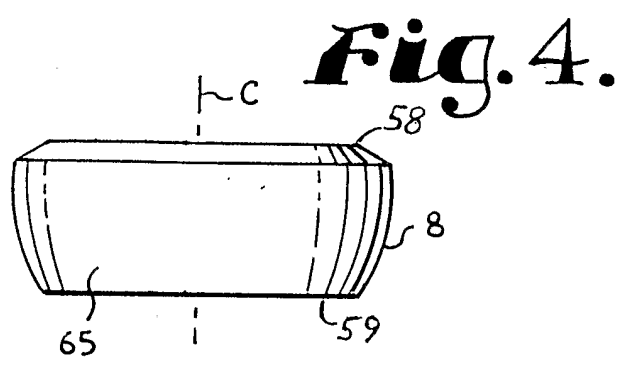


Fig. 4.

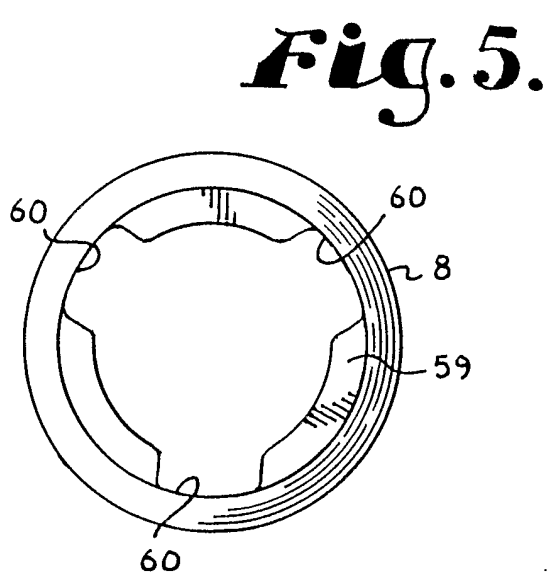


Fig. 5.

Fig. 9.

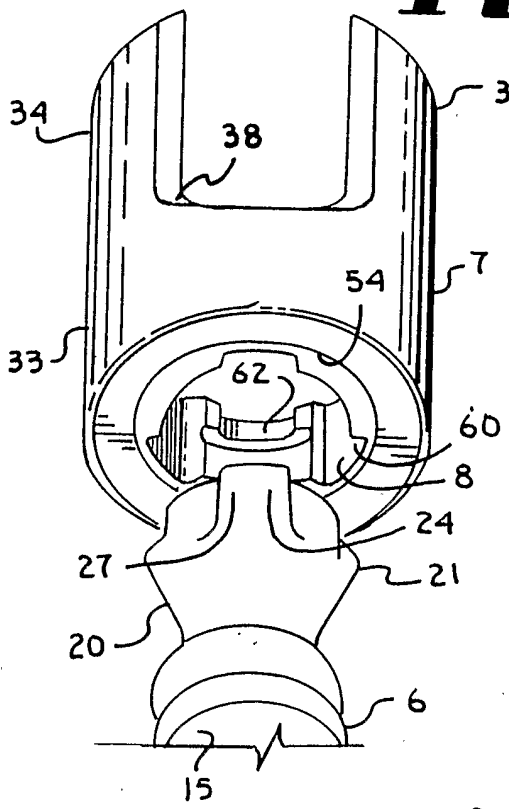


Fig. 10.

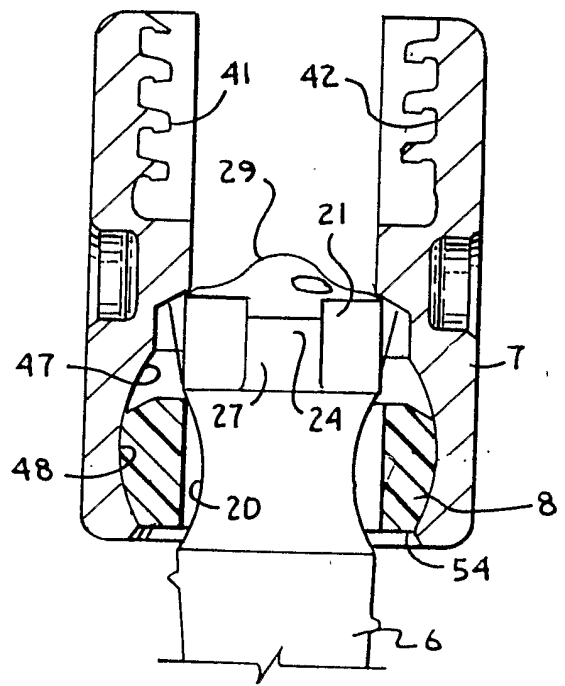


Fig. 11.

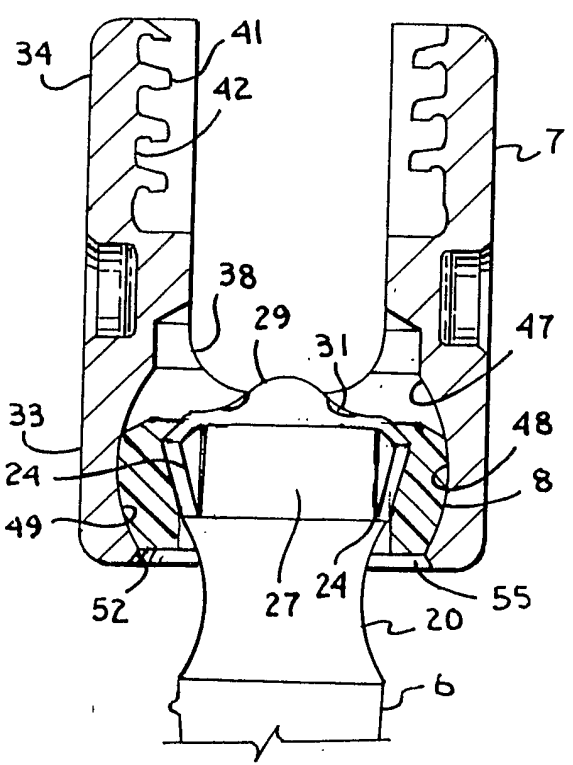
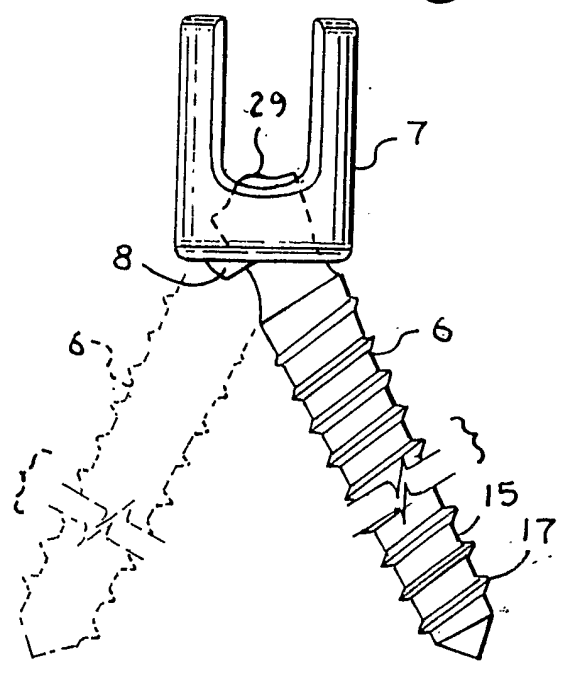


Fig. 14.



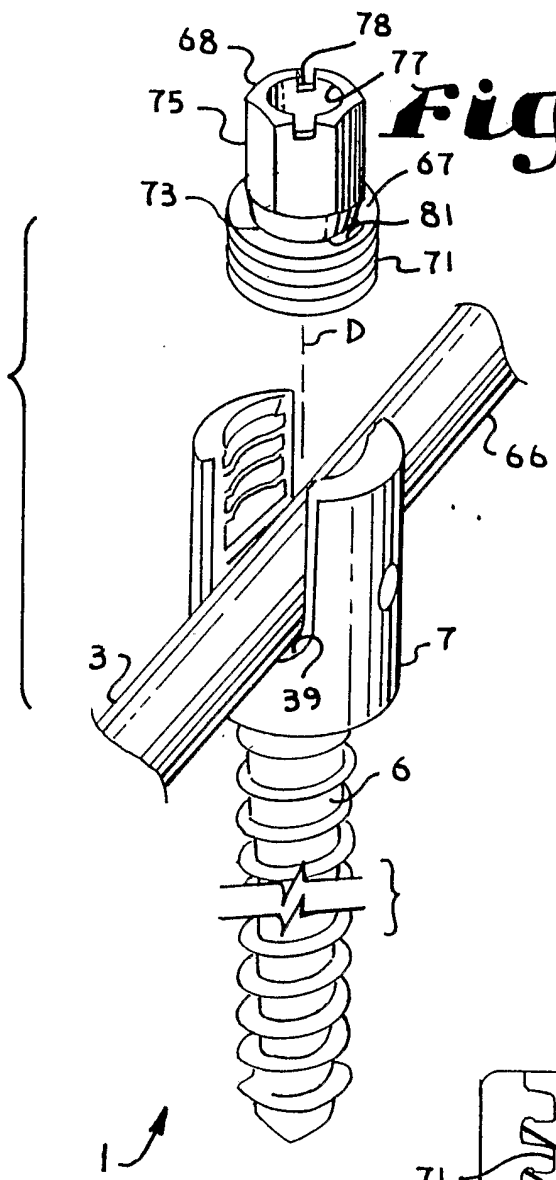


Fig. 15.

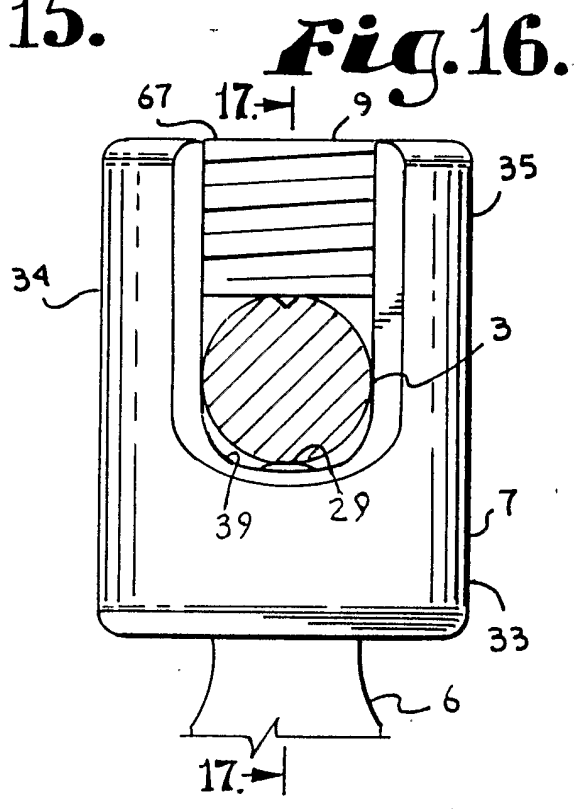


Fig. 16.

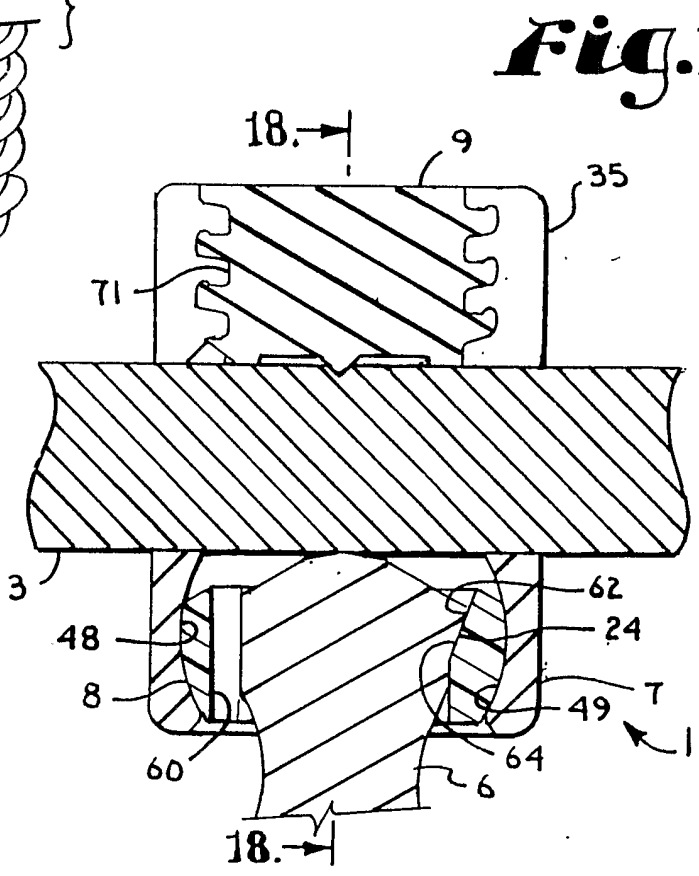


Fig. 17.

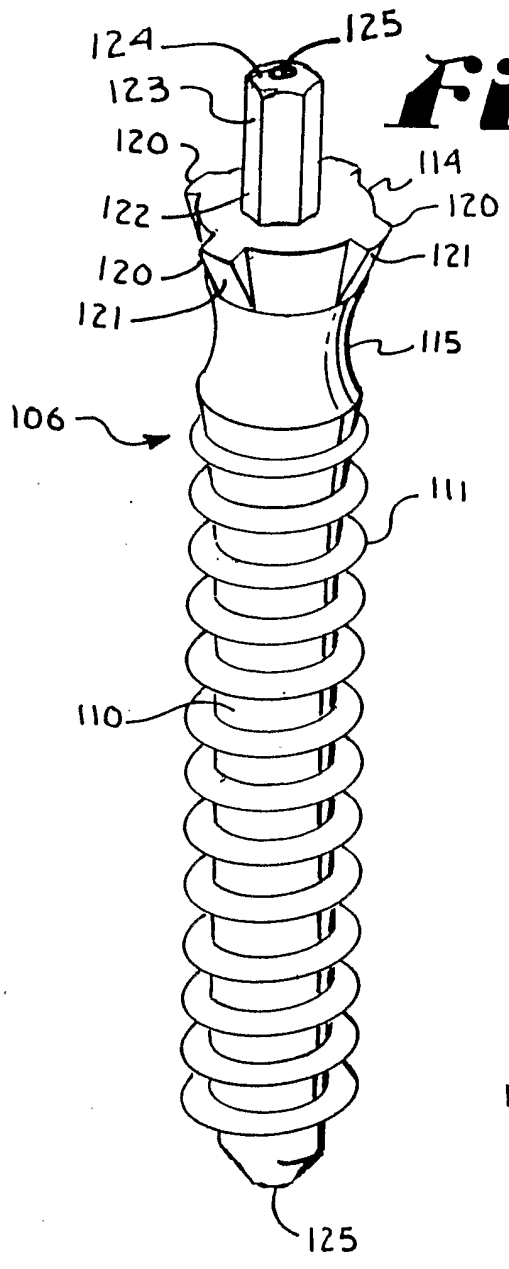


Fig. 20.

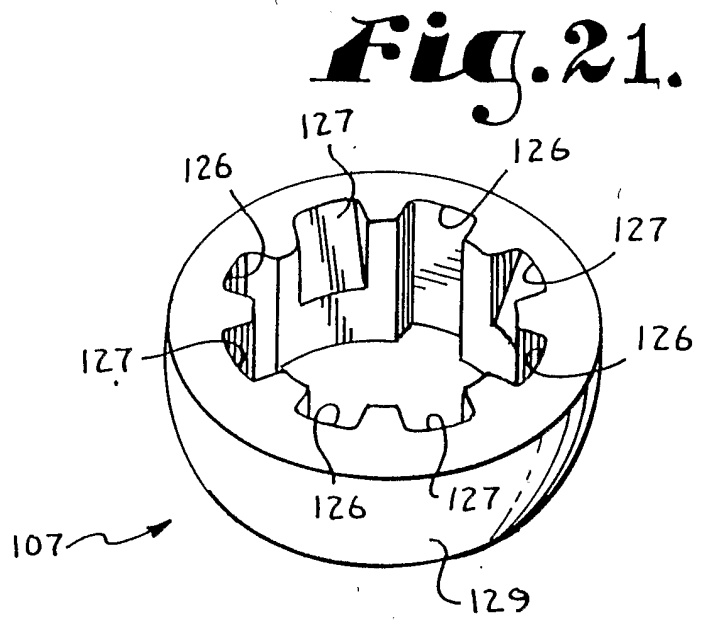


Fig. 21.