

07-27-1998



To the Honorable Commissioner
documents or copies thereof.

100776019

Please record the attached original

1. Name of conveying party(ies):

James G. Fleming, Shawn-Yu Lin,
Dale L. Hetherington & Bradley K. Smith

2. Name and address of receiving party(ies)

Name: SANDIA CORPORATION
Internal Address: Patent & Licensing, 11500

Additional name(s) of conveying party(ies) attached? Yes ☒ No

Mail Stop 0161

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other: Assignment & Confirmatory License

Street Address: P. O. Box 5800

City: Albuquerque, State: NM ZIP: 87185-0161

Execution Date: 4/28/98 and 5/18/98

Additional name(s) & address(es) attached? Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

09/067,614

B. Patent No.(s)

Filed: 4/28/98

Issued:

Additional numbers attached? Yes ☐ No ☒

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Timothy D. Stanley
Sandia National Laboratories
Internal Address: Patent & Licensing, 11500

Mail Stop 0161

Street Address: P. O. Box 5800

6. Total number of applications and patents involved: one (1)

7. Total fee (37 CFR 3.41) \$40.00

Enclosed

☒ Authorized to be charged to deposit account

8. Deposit Account number: 19-0131

(Attach duplicate copy of this page if paying by account)

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Timothy D. Stanley

Signature

Date

Total number of pages including cover sheet, attachments, and document: 4

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

PATENT

REEL: 9333 FRAME: 0232

April 28, 1998

ASSIGNMENT

WHEREAS, James G. Fleming, Shawn-Yu Lin, Dale L. Hetherington, of Albuquerque, New Mexico; and Bradley K. Smith of Edgewood, New Mexico has(have) made an invention relating to USE OF CHEMICAL-MECHANICAL POLISHING FOR FABRICATING PHOTONIC BANDGAP STRUCTURES in the course of the work authorized by Contract DE-AC04-94AL85000 between SANDIA CORPORATION and the UNITED STATES DEPARTMENT OF ENERGY, said invention being disclosed and claimed in an application for United States patent, identified as DOE Docket No: S-89,726 duly executed by said inventors on April 28, 1998, and May 18, 1998; and

WHEREAS Inventor(s), in consideration of employment by Sandia Corporation, has(have) agreed, among other things, to assign to Sandia Corporation, its successors and assigns, all rights to inventions, discoveries, or improvements made or conceived in the course of their employment; and

WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy has granted a waiver of Government rights in the above-identified invention to Sandia Corporation under Class Waiver W(C)93-012, effective July 14, 1995; and

THEREFORE, Inventor(s) hereby sells, assigns, and transfers unto Sandia Corporation their entire right, title, and interest in and to said invention and in and to all resulting patents, wherever they may be granted, as well as reissues or extensions of said patents.

Inventor(s) covenants with Sandia Corporation that, except for the rights, if any, of the Government, his/her interest in the rights and property herein conveyed is free and clear of any encumbrance and that they have full right to convey the same as herein expressed. They agree, at the request of Sandia corporation, to make, execute, and deliver to Sandia Corporation, the Government, or other party prosecuting patent applications on this invention, any and all papers, documents, affidavits, applications, statements or other instruments relating to said invention, take all rightful oaths and do all acts as may reasonably be required of them in or incident to the prosecution of any or all applications on said invention or in the adjustment or settlement of any interferences or other actions or proceedings that said applications or patents thereon may encounter or in which they may become involved.

Signed at Albuquerque, New Mexico, this 28th day of April, 1998.

James G. Fleming
James G. Fleming

Shawn-Yu Lin
Shawn-Yu Lin

Dale L. Hetherington
Dale L. Hetherington

Bradley K. Smith
Bradley K. Smith

STATE OF NEW MEXICO)
) ss:
COUNTY OF BERNALILLO)

On the 28th day of April, 1998, personally appeared before me, Udella L. Kump, Notary Public, James G. Fleming, Shawn-Yu Lin, Dale L. Hetherington, and ~~Bradley K. Smith~~ to me known to be the individual(s) described in and who executed the foregoing instrument, and who acknowledged to me that they executed the same.

Udella L. Kump
Notary Public

Approved and consented to this 15 day of May, 1998.

SANDIA CORPORATION

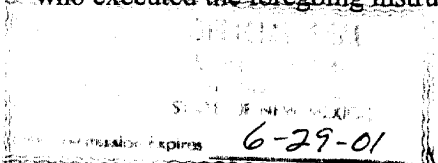
Timothy D. Stanley
Chief Patent Counsel
Patent and Licensing Office, MS 0161

Signed at Albuquerque, New Mexico, this 18th day of May, 1998.

Bradley K. Smith
Bradley K. Smith

STATE OF NEW MEXICO)
) ss:
COUNTY OF BERNALILLO)

On the 18th day of May, 1998, personally appeared before me, Udella L. Kump, Notary Public, Bradley K. Smith to me known to be the individual(s) described in and who executed the foregoing instrument, and who acknowledged to me that he executed the same.



Udella L. Kump
Notary Public

Approved and consented to this 18th day of May, 1998.

SANDIA CORPORATION

Timothy D. Stanley
Chief Patent Counsel
Patent and Licensing Office, MS 0161