

08-12-1998

1 SHEET

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To the Honorable Assistant Commissioner for Patents: Please record the attached  
original documents or copy thereof.

1. Name of conveying party(ies): Sheldon Schultz David A. Schultz David R. Smith Jack J. Mock Thomas J. Silva	2. Name/address of receiving party(ies):  THE REGENTS OF THE UNIVERSITY OF CALIFORNIA  1111 Franklin Street Fifth Floor Oakland, CA 94607-5200
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Other <input type="checkbox"/> Change of Name <input type="checkbox"/> Reassignment	
4. Date(s) of execution: <u>June 23, 1998</u>	Add'l names of receiving parties attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

5. Application number(s) or patent number(s):  If this document is being filed together with new application, the execution date of application is _____.
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A. Patent Application No. (s)  09/027,048 filed February 20, 1998	B. Patent No. (s)  Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
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6. Name and address of party to whom correspondence concerning document should be mailed:  Dehlinger & Associates P.O. Box 60850 Palo Alto, CA 94305 (650) 324-0880	7. Total No. of applications and patents involved:  <u>one (1)</u>
	8. Total fee (37 CFR \$3.41): <u>\$40.00</u> <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Charge to Acct. No. 04-0531
	9. Total number of pages, including cover sheet, attachments and document <u>3</u> .

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10. 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.
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Peter J. Dehlinger  
Name of Person Signing

Signature

Date

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PATENT  
REEL: 9369 FRAME: 025409027018  
00000000  
8-98  
01 FC:581  
06/07/1998

## **ASSIGNMENT**

U.C. Case No.: SD97-110

Attorney Docket No.: 2003-0001.30

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

- |                           |                            |
|---------------------------|----------------------------|
| 1. <u>Sheldon Schultz</u> | 2. <u>David A. Schultz</u> |
| 3. <u>David R. Smith</u>  | 4. <u>Jack J. Mock</u>     |
| 5. <u>Thomas J. Silva</u> |                            |

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin Street, Fifth Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its rights, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

### **Plasmon Resonant Particles, Methods and Apparatus**

and which is found in

- ☐ U.S. Patent Application executed on \_\_, entitled as above and listing the above named persons as inventors.
- ☒ U.S. Patent Application No. 09/027,048, filed 02/20/98.
- ☐ U.S. Patent No. \_\_\_\_\_, issued \_\_\_\_\_.

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of

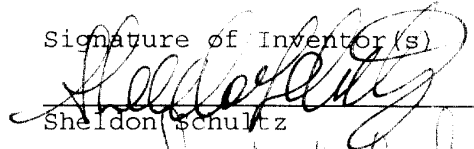
record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Assistant Commissioner for Patents to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

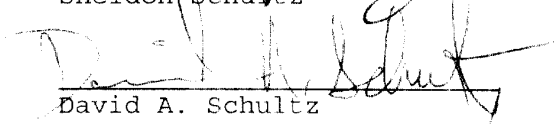
executed this

23rd day of June, 1998

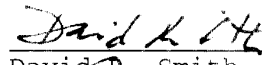
Signature of Inventor(s)

  
Sheldon Schultz

23rd day of June, 1998

  
David A. Schultz

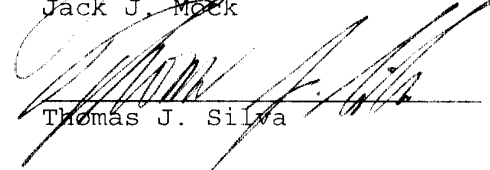
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