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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

NORTHWESTERN UNIVERSITY

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

3. Nature of conveyance:

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

Execution Date(s): 10 NOVEMBER 1997

- ☒ This instrument should be recorded on the governmental register in accordance with 37 CFR 7.1(e)(1).

2. Name and address of receiving party(ies):

Name: UNITED STATES AIR FORCEInternal Address: AFRL/IFOJStreet Address: 26 ELECTRONIC PARKWAYCity: ROMEState: NEW YORK Zip: 13441-4514Additional 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):

08/859,559

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

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

Name: HAROLD L. BURSTYNInternal Address: AFRL/IFOJStreet Address: 26 ELECTRONIC PARKWAYCity: ROMEState: NEW YORK ZIP: 13441-4514

6. Total number of applications and patents involved:

17. Total fee (37 CFR 3.41) .....\$ 0☐ Enclosed ☒ Not applicable

The instrument to be recorded is not an instrument affecting title (37 CFR 7.1(e)(2) and (j)).

8. Deposit account number:

(Attach duplicate copy of this page if paying by deposit 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.

JUDITH M. DECKER

Name of person signing

Signature

Date

8/24/99

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

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## LICENSE TO THE UNITED STATES GOVERNMENT

WHEREAS, Seng-Tiong Ho and Deana Rafizadeh, of NORTHWESTERN UNIVERSITY, have invented an invention entitled, "Semiconductor Micro-Resonator Device " (NU 96007) and filed a patent application thereon in the United States bearing Serial No. 08/859,559 on May 20, 1997; and

WHEREAS, the invention was made in the course of research supported by the Advanced Research Projects Agency (F30602-94-1-0003 and DAAH04-94-G-03667); and

WHEREAS, the United States Government is entitled to certain rights in and to said invention and application by reason of the terms of such support; and

WHEREAS, NORTHWESTERN UNIVERSITY, hereinafter called the "Licensor", has acquired by assignment from the inventor the entire right, title and interest of the inventor to such invention;

### NOW, THEREFORE

1. The Licensor, in consideration of the premises and other good and valuable considerations, hereby grants and conveys to the United States Government (including any agency thereof, state, or domestic municipal government) a royalty-free, non-exclusive, and irrevocable license to make use and sell for any governmental purposes, and on behalf of any foreign government pursuant to any existing or future treaty or agreement with the United States of America, embodiments of the invention described in the aforesaid application and in any and all divisions, continuations and continuations-in-part thereof, and in any and all reissues thereof, during the full term or terms thereof.

2. The Licensor covenants and warrants that it has the right to grant the fore-going license, and that any assignment which it may make of the invention or the said patent applications or patents thereon, shall expressly be made subject to this license.

3. The Licensor agrees that the Government shall not be estopped at any time to contest the enforceability, validity, scope of, or title to any patent or patent application herein licensed.

NORTHWESTERN UNIVERSITY

By: C. William Kern  
C. William Kern, Ph.D.

Title: Vice President for Research and  
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11/10/97  
(Date)