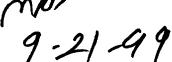
FORM PTO-1619A Expires 06/30/99 OMB 0651-0027 09-22-1999

U.S. Department of Commerce
Patent and Trademark Office
PATENT



101151736

RECORDATION FORM COVER SHEET

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(les).				
Submission Type Conveyance Type				
New	Assignment Security Agreement			
Resubmission (Non-Recordation) Document ID#	License Change of Name			
Correction of PTO Error Reel # Frame #	Merger Souther Confirmatory License U.S. Government			
Corrective Document Reel # Frame #	(For Use ONLY by U.S. Government Agencies) Departmental File Secret File			
Conveying Party(ies) Mark if additional names of conveying parties attached Execution Date				
Name (line 1) California Institute of Technology 08/04/99				
Name (line 2)				
Second Party Name (line 1) Execution Date Month Day Year				
Name (line 2)				
Receiving Party Mark if additional names of receiving parties attached				
Name (line 1) National Aeronautics and Space Administration Is an assignment and the				
Name (line 2)	receiving party is not domiciled in the United States, an appointment			
Address (line 1) 300 "E" Street, SW.,	(Designation must be a			
Address (line 2)	separate document from Assignment.)			
Address (line 3) Washington City	DC 20546 State/Country Zip Code			
Domestic Representative Name and Address Enter for the first Receiving Party only.				
Name				
Address (line 1)				
Address (line 2)				
Address (line 3)				
Address (line 4)				
FOR OFFICE USE ONLY				
395				

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:

Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

PATENT

			NPO 20110
FORM PTC Expires 06/30/99 OMB 0651-0027)-1619B	Page 2	U.S. Department of Commerce Patent and Trademark Office PATENT
Correspond	lent Name and Address	Area Code and Telephone Nui	mber 202-358-2040
Name	Kathy Bayer		
Address (line 1)	National Aeronauti	.cs and Space Admin	
Address (line 2)	300 "E" Street, SW	V., Code GP	
Address (line 3)	Washington, DC 20)546	
Address (line 4)			
Pages	Enter the total number of princluding any attachment	pages of the attached conveyance s.	document # 1
Pat 09144519	tent Application Number(s)	e Patent Number (DO NOT ENTER BOTH n	Patent Number(s)
Ente only	peration Treaty (PCT) er PCT application number y if a U.S. Application Numb not been assigned.	PCT PCT PCT PCT	PCT PCT
Number of I	Properties Enter the t	total number of properties involve	d. # 1
Fee Amoun	t Fee Amour	nt for Properties Listed (37 CFR 3	.41): \$ 0
Deposit	t Account	closed Deposit Account dditional fees can be charged to the accoun	·,

Authorization to charge additional fees: Yes **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. Charges to deposit account are authorized, as indicated herein. Kathy Bayer

Deposit Account Number:

Name of Person Signing



In accordance with a contract set forth below between the Government of the United States of America, as represented by the Administrator of the National Aeronautics and Space Administration (NASA) and the below-named Contractor, the invention cited below is a SUBJECT INVENTION made in the performance of work under the contract, and & the Contractor has elected to retain title to the SUBJECT INVENTION; or I the Contractor has elected not to retain title to the SUBJECT INVENTION; and NASA, after consultation with the Contractor, has granted the request for retention of rights by the Inventor, and employee of the Contractor, subject to the provisions of 35 U.S.C. § 202(d) and FAR 52.227-11, Patent Rights-Retention by the Contractor, but subject to a license to the Government, as described below.

NOW THEREFORE, pursuant to the terms and conditions of the contract, the Contractor/Inventor does hereby grant to the Government of the United States a non-exclusive, non-transferable, irrevocable paid-up license to practice or have practiced for or on behalf of the United States this SUBJECT INVENTION and any patents which may issue thereon throughout the world. At this time at least the following U.S. patent application has been filed on the SUBJECT INVENTION.

Title: Devices Based on Surface Plasmon Interference Filters

Contractor:

California Institute of

Technology

Patent Application Serial No.: 09/144,519

Filed: 8/31/98 Patent No.:

Inventor(s): Yu Wang

Issue Date:

Contract No.: NAS7-1260 Contractor Case No.: CIT-2679

NASA Case No.: NPO-20110

The Contractor/Inventor agrees to include, within the specification of any United States patent applications and any patents issuing thereon covering this SUBJECT INVENTION, the following statement as in FAR 52.227-11(f)(4):

"This invention was made with Government support under contract NAS7-1260 NASA. The Government has certain rights in this invention."

The Contractor/Inventor further agrees to notify the NASA of any decision not to continue prosecution of the application(s), pay maintenance fees, or defend in a reexamination or opposition proceeding on a patent, in any country, not less than thirty days before the expiration period required by the U.S. Patent and Trademark Office.

Title to this Invention is subject to the March-In-Rights by the NASA as stated in 35 U.S.C. § 203 and FAR 52.227-11(j).

The Contractor/Inventor shall furnish a copy of the patent application cited above and a listing of each country in which applications have been and are filed. Whenever a patent issues on the SUBJECT INVENTION, the patent number, the issue date, and the country shall be made known to the Government as soon as it is available to the Contractor/Inventor.

Adam Cochran Intellectual Property Counsel

(Typed name and title of Corporate Officer)

NASA FORM 1604 AUG 89 PREVIOUS EDITION IS OBSOLETE.

PATENT REEL: 010244 FRAME: 0116

RECORDED: 09/21/1999