

RECORDATION FOR  
**PATENT**

12-02-1999

DEPARTMENT OF COMMERCE  
Patent and Trademark Office



To the Honorable Commissioner of Patents and Trademarks: Please

101212946

thereof.

1. Name of conveying party(ies):

Charles F. Spence  
Anne Y. Fu  
Stephen R. Quake  
Frances H. Arnold

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

3. Nature of conveyance:

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

Execution Date: October 5, October 6, October 10 and November 22, 1999 respectively

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

Name: **California Institute of Technology**  
Internal Address: **1200 East California Boulevard**

Street Address:

City: **Pasadena** State: **California** Zip: **91125**

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)

09/325,667  
Filed May 21, 1999

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☐ No

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

Name: Darby & Darby P.C.

Internal Address:

11/30/1999 WPRASASD 00000091 09325667

05 FC:581

40.00 OP

Street Address: 805 Third Avenue, 27th Floor

City: New York State: New York Zip: 10022-7513

6. Total number of applications and patents involved:

1

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

- ☒ Enclosed  
☐ Authorized to be charged to deposit account

8. Deposit account number:

04-0100

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

DO NOT USE THIS SPACE

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.*

Robert Schaffer/Reg. No. 31,194  
Name of Person Signing

Signature

November 24, 1999  
Date

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

7

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

**ASSIGNMENT**

**WHEREAS, we**

**Charles F. SPENCE**, a citizen of the **United States of America**, residing at **748 S. Golden West Avenue, #7, Arcadia, California 91107**;

**Anne Y. FU**, a citizen of the **United States of America**, residing at **16320 Canelones Drive, Hacienda Heights, California 91745**;

**Stephen R. QUAKE**, a citizen of the **United States of America**, residing at **744 Plymouth Road, San Marino, California 91108**; and

**Frances H. ARNOLD**, a citizen of the **United States of America**, residing at **629 S. Grand Avenue, Pasadena, California 91105**;

hereinbelow called "Assignors" have made a certain invention in

**MICRO-FABRICATED SORTER FOR CHEMICAL  
AND BIOLOGICAL MATERIALS**

described in **U.S. patent application Serial No. 09/325,667** filed in the **U.S. Patent and Trademark Office on May 21, 1999**; and

**WHEREAS, California Institute of Technology**, a **California** corporation, having its principal place of business at **1200 East California Boulevard, Pasadena, CA 91125**, hereinbelow called the "Assignee", is desirous of securing the entire right, title and interest in to the said invention, application and Letters Patent, when granted, and in and to any divisions, continuations, improvements, reissues or extensions that may be made or granted thereon;

**NOW, THEREFORE, BE IT KNOWN**, that for and in consideration of the sum of One Dollar (\$1.00) to us in hand paid by the said Assignee, and other good and valuable consideration, the receipt of all of which is hereby acknowledged, we, the said Assignors, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said Assignee, its successors and assigns, the entire right, title and interest throughout the world in and to the said invention, application and Letters Patent, when granted, and in and to any divisions, continuations, improvements, reissues or extensions that may be made or granted on any of them;

TO HAVE AND TO HOLD the same to the full end of the term or terms for which said Letters Patent may be granted, as fully and completely as the same might be held by us had this sale and assignment not been made.

For the consideration aforesaid, we hereby covenant and agree to and with the said Assignee, its successors and assigns, that whenever its counsel or representative, or the counsel or representative of its successors or assigns, shall advise that an amendment to, or a division of, or any other proceeding or action in connection with said application or invention, including interference proceedings, is lawful and desirable, or that a reissue or continuation or extension of said Letters Patent is lawful and desirable, we will sign all papers and drawings, take all rightful oaths and affidavits, and do all acts necessary or required to be done for the procurement of valid Letters Patent for said invention, or for the reissue or continuation or extension of the same, and will do all acts necessary or required to secure to the said Assignee, its successors and assigns, the title to and full benefit of all rights hereby assigned, without charge to said Assignee or its successors or assigns, but at its or their expense;

AND the Commissioner of Patents and Trademarks is requested to issue the said Letters Patent, when granted, in accordance with this sale and assignment.

For the consideration aforesaid, we have sold, assigned, transferred and set over and by these presents do sell, assign, transfer and set over unto the said Assignee, its successors and assigns, or the nominees of any of them, the entire right, title and interest in and to any and all Letters Patent for said invention which may be granted in countries foreign to the United States, and in and to any applications for Letters Patent which may be filed for said invention in countries foreign to the United States, and in and to the invention described in said applications; and we hereby authorize and empower said Assignee and its successors, assigns or nominees, to apply for Letters Patent or other form of protection on said invention in its own name or in the name of its successors, assigns or nominees, in any or all countries where it may desire to file such application, and where said application may be filed by another than the inventor; and we hereby covenant and agree to sign all papers and drawings, take all rightful oaths, execute all rightful affidavits, and do all acts necessary or required to be done for the procurement and maintenance of Letters Patent or other form of protection for said invention in countries foreign to the United States, and for further investing or confirming the right and title thereto in the Assignee, its successors, assigns or nominees, without charge to said Assignee, its successors, assigns or nominees, but at its or their expense.

We declare under penalty of perjury under the laws of the United States of America that we have signed this document as our own free act and that all of the foregoing is true and correct.

Dated: October 10, 1999

Charles F. Spence

Charles F. **SPENCE**, Inventor

Dated: \_\_\_\_\_

\_\_\_\_\_  
Anne **FU**, Inventor

Dated: \_\_\_\_\_

\_\_\_\_\_  
Stephen **QUAKE**, Inventor

Dated: \_\_\_\_\_

\_\_\_\_\_  
Frances H. **ARNOLD**, Inventor

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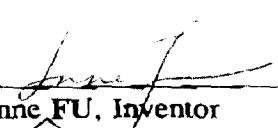
We declare under penalty of perjury under the laws of the United States of America that we have signed this document as our own free act and that all of the foregoing is true and correct.

- 3 -

Dated: \_\_\_\_\_

\_\_\_\_\_  
Charles F. SPENCE, Inventor

Dated: 11/22/98

  
\_\_\_\_\_  
Anne FU, Inventor

*Y. H.* ANNE Y. FU

Dated: \_\_\_\_\_

\_\_\_\_\_  
Stephen QUAKE, Inventor

Dated: \_\_\_\_\_

\_\_\_\_\_  
Frances H. ARNOLD, Inventor

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\_\_\_\_\_  
Charles F. **SPENCE**, Inventor

Dated: \_\_\_\_\_

\_\_\_\_\_  
Anne **FU**, Inventor

Dated: 10/6/99

  
\_\_\_\_\_  
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**PATENT**

**REEL: 010403 FRAME: 0679**

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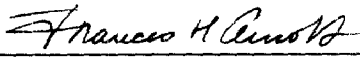
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Stephen QUAKE, Inventor

Dated: 10/5/99  
  
Frances H. ARNOLD, Inventor

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