



REC

02-04-2000



U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

101258208

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

1. Name of conveying party(ies):
Thomas J. MEADE; Scott FRASER; Russell JACOBS;
and Wenhong LI: California Institute of Technology

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

2. Name and address of receiving party(ies):
Name: Research Corporation Technologies, Inc.

Internal Address: _____

3. Nature of Conveyance:
☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 20 Dec. 1999 and 17 Jan. 2000

Street Address: 101 North Wilmot Road - Suite 600
City: Tucson
State: Arizona Zip: 85711-3335
Country: U.S.A.

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)

09/405,046

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Robin M. Silva
Internal Address: FLEHR HOHBACH TEST
ALBRITTON & HERBERT LLP

Street Address: Four Embarcadero Center
Suite 3400
City: San Francisco
State: California Zip: 941211-4187

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: 06-1300

Please debit any underpayment or credit any overpayment to the above deposit account.

Our Order No. A-58634-6/RFT/RMS/RMK
(Attach duplicate 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.

Robin M. Silva
Name of Person Signing

Robin M. Silva
Signature

19 January 2000
Date

Total number of pages including cover sheet, attachments and document: 7

OMB No. 0651-0011 (exp. 4/94)

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Mail documents to be recorded with required cover sheet information to:

Honorable Commissioner of Patents and Trademarks
Box Assignments
Washington, DC 20231

File No. A-58634-6/RFT/RMS/RMK

Rev. 8/93 (39811)
SF-100739/v1

(b) the APPLICATION, all foreign applications and all divisional and continuation, in whole and in part, applications based on the APPLICATION;

(c) all patents resulting from the APPLICATION and applications described in subparagraph 4(b) herein; and

(d) all reissues, extensions, renewals and reexaminations of the patents described in subparagraph 4(c) herein.

5. This Assignment shall allow INSTITUTION to file the applications described in paragraph 4 herein in its own name (but naming the INVENTORS as the inventors) in all countries of the world (where it is permissible) and the right to claim the benefit of the priority right provided by the International Convention of 1883, as amended.

6. Each INVENTOR hereby authorizes and requests the Commissioner of Patents and Trademarks of the United States of America to issue to INSTITUTION all U.S. patents described in paragraph 4 herein that may be granted.

7. Each INVENTOR agrees for himself or herself and his or her heirs, executors and administrators to execute any further lawful documents that INSTITUTION might consider necessary to fully protect its interest in the INVENTION and the documents described in paragraph 4 herein.

8. Each INVENTOR covenants that he or she has not granted any right or license to make, use or sell the INVENTION to anyone, except to the extent that he or she is obligated to grant a nonexclusive, nontransferable, royalty-free, irrevocable license to the Government of the United States of America pursuant to the terms of a certain Government grant(s), which license shall not be affected by the execution and delivery of this assignment.

9. Each INVENTOR also covenants that he or she has not encumbered his or her right, title and interest in the INVENTION or APPLICATION other than the exceptions listed in paragraph 8 herein, and has not, and will not, sign any document that conflicts with this Assignment.

Assignment from INSTITUTION to RCT

10. INSTITUTION hereby assigns to RCT its entire right, title and interest in

(a) the INVENTION;

(b) the APPLICATION, all foreign applications and all divisional and continuation, in whole and in part, applications based on the APPLICATION;

(c) all patents resulting from the APPLICATION and applications described in (b); and

(d) all reissues, extensions, renewals and reexaminations of the patents described in (c).

11. This Assignment shall allow RCT to file the applications described in paragraph 10 herein in its own name (but naming the INVENTORS as the inventors) in all countries of the world (where it is permissible) and the right to claim the benefit of the priority right provided by the International Convention of 1883, as amended.

12. INSTITUTION hereby authorizes and requests the Commissioner of Patents and Trademarks of the United States of America to issue to RCT all U.S. patents described in paragraph 10 herein that may be granted.

13. INSTITUTION agrees to execute any further lawful documents that RCT might consider necessary to fully protect its interest in the INVENTION and the documents described in paragraph 10 herein.

14. INSTITUTION covenants that it has not granted any right or license to make, use or sell the INVENTION to anyone, except to the extent that it is obligated to grant a nonexclusive, nontransferable, royalty-free, irrevocable license to the Government of the United States of America pursuant to the terms of a certain Government grant(s), which license shall not be affected by the execution and delivery of this Assignment.

15. INSTITUTION also covenants that it has not encumbered its right, title and interest in the INVENTION or APPLICATION other than the exceptions listed in

paragraph 8 herein, and has not, and will not, sign any document that conflicts with this Assignment.

Thomas J. Meade

Thomas J. MEADE

12-20-99

Date

Address: 1656 New York Drive, Altadena, California 91001

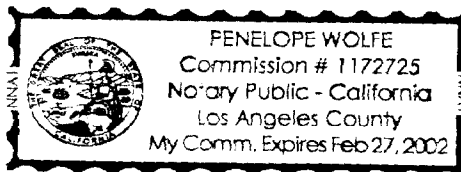
County of LOS ANGELES

State of CALIFORNIA

ss.

On this 20th day of December, in the year 1999, before me, Penelope Wolfe, a Notary Public of the State of CALIFORNIA, personally appeared Thomas J. MEADE, personally known to me ~~(or proved to me on the basis of satisfactory evidence)~~ to be the person whose name is subscribed to the within instrument, and acknowledged that ~~(he)~~ she executed the same in ~~(his)~~ her authorized capacity(ies), and that by ~~(his)~~ her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.



Signature

Penelope Wolfe

L.S.

Scott Fraser

Scott FRASER

20 Dec 99

Date

Address: 503 Dartmouth Place, La Canada, California 91011

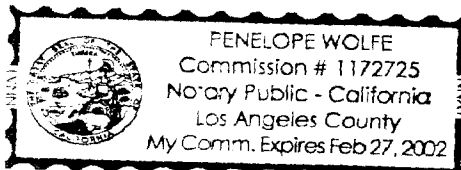
County of LOS ANGELES

State of CALIFORNIA

ss.

On this 20th day of December, in the year 1999, before me, Penelope Wolfe, a Notary Public of the State of CALIFORNIA, personally appeared Scott FRASER, personally known to me ~~(or proved to me on the basis of satisfactory evidence)~~ to be the person whose name is subscribed to the within instrument, and acknowledged that ~~(he)~~ she executed the same in ~~(his)~~ her authorized capacity(ies), and that by ~~(his)~~ her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.



Signature

Penelope Wolfe

L.S.

Russell JACOBS

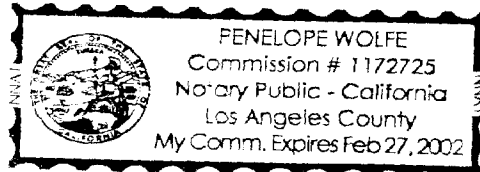
20 DEC 99
Date

Address: 2100 South Eighth Avenue, Arcadia, California 91006

County of LOS ANGELES
State of CALIFORNIA } ss.

On this 20th day of December, in the year 1999, before me, Penelope Wolfe, a Notary Public of the State of CALIFORNIA, personally appeared Russell JACOBS, personally known to me (~~or proved to me on the basis of satisfactory evidence~~) to be the person whose name is subscribed to the within instrument, and acknowledged that ~~he~~she executed the same in ~~his~~her authorized capacity(ies), and that by ~~his~~her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.



Signature Penelope Wolfe L.S.

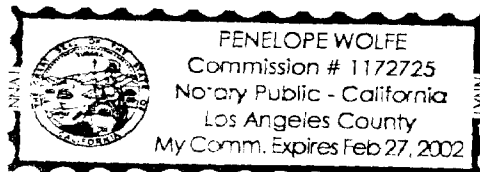
Wenhong LI Dec 20, 99
Date

Address: 125 South Sierra Madre Boulevard, No. 111, Pasadena, California 91107

County of LOS ANGELES
State of CALIFORNIA } ss.

On this 20th day of December, in the year 1999, before me, Penelope Wolfe, a Notary Public of the State of CALIFORNIA, personally appeared Wenhong LI, personally known to me (~~or proved to me on the basis of satisfactory evidence~~) to be the person whose name is subscribed to the within instrument, and acknowledged that ~~he~~she executed the same in ~~his~~her authorized capacity(ies), and that by ~~his~~her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.



Signature Penelope Wolfe L.S.

By 
Adam Cochran

17 January 2000
Date

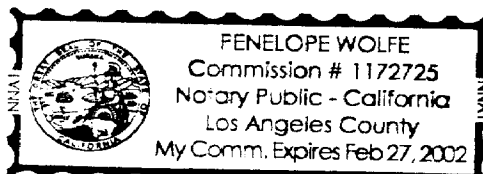
Title: Chief Intellectual Property Counsel

County of Los Angeles
State of CALIFORNIA } ss.

On this 17th day of January, in the year 2000, before me,
Penelope Wolfe, a Notary Public of the State of CALIFORNIA,
personally appeared Adam COCHRAN, personally known to me ~~or proved to me on the basis of~~
~~satisfactory evidence~~ to be the person whose name is subscribed to the within instrument, and
acknowledged that he ~~she~~ executed the same in his ~~her~~ authorized capacity(~~ies~~), and that by his ~~her~~
signature on the instrument the person, or the entity upon behalf of which the person acted, executed
the instrument.

WITNESS my hand and official seal.

Signature 



L.S.