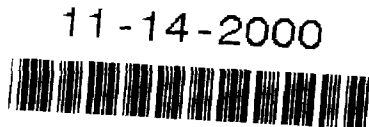


RECORD



11-14-2000  
101514646

DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Documents or copy thereof:  
Address of receiving party(ies):

10-16-00

1. To the Honorable Commissioner of Patents  
Name of conveying party(ies):

Francisco Santiago (signed 11/20/98)  
Tak Kin Chu (signed 11/20/09)  
Michael F. Stumborg (signed 11/20/98)  
Kevin A. Boulais (signed 11/20/98)

Name: The United States of America as  
represented by the Secretary of the Navy

Internal Address: CHIEF OF NAVAL RESEARCH  
OFFICE OF COUNSEL  
(ATTN: CODE OOCPIP)  
Street Address: BALLSTON TOWER ONE  
800 NORTH QUINCY STREET

RE: DOCUMENT ID NO: 101432131

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

City: ARLINGTON State: VA ZIP: 22217-5660

3. Nature of conveyance:

- Assignment
- Other \_\_\_\_\_

Execution Date: \_\_\_\_\_

4. Application number(s) or patent number(s):

A. Patent Application No.(s)  
09/631,121 Filed: 08/02/00

B. Patent No.(s)

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

James B. Bechtel  
Office of Counsel (CD222)  
Naval Surface Warfare Center  
Dahlgren Division  
Dahlgren, Virginia 22448-5000

6. Total number of applications and  
patents involved: 1

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

Authorized to be charged  
to deposit account

8. Deposit account number:  
50-0967

(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.

James B. Bechtel  
Name of Person Signing  
Reg. No. 29,890  
Customer No. 23501

Signature

Oct 11, 2000  
Date

Total number of pages comprising cover sheet: 1

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

Do not detach this portion

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

U.S. Patent and Trademark Office  
Assignment Division  
Box Assignments CG 4  
1213 Jefferson Davis Highway, Suite 320  
Washington, D.C. 20231

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the  
date shown below with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC  
20231.

Date: Oct 12, 2000

Beverly D. Cook

PATENT  
REEL: 011223 FRAME: 0042

08-15-2000

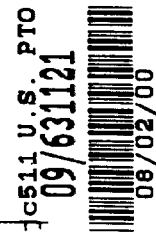


101432131

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No: 82528  
Anticipated Classification of this application:  
Class 438 Subclass 15+  
Prior Application:  
USSN: 09/197,440  
Examiner: Jackson, J.  
Group Art Unit: 2815

*Handwritten:* PWD  
8.8.00



Box Patent Application  
Hon. Commissioner of Patents and Trademarks  
Washington, DC 20231

TRANSMITTAL OF FILING UNDER 37 CFR §1.60(B)

Sir:

This is a request for filing a

- Continuation
- Divisional

*Handwritten:* 09/631121

application under 37 CFR §1.60, of pending prior application serial no. 09/197,440 filed on November 23, 1998, for Gallium Arsenide Semiconductor Devices Fabricated with Insulator Layer.

1. Copy of Prior Application as filed which is attached

- I hereby verify that the attached papers are a true copy of what is shown in my records to be the above identified complete prior application, including the oath or declaration originally filed (37 CFR 1.60).

The copy of the papers of prior application as filed which are attached are as follows:

- 35 pages of specification
- 27 pages of claims
- 1 pages of abstract
- 3 sheets of drawings
- 1 page of declaration and power of attorney

- in accordance with the indication required by 37 CFR 60(b) my records reflect that the original ~~09/631121~~ declaration showing applicant's signature was filed on November 23, 1998.

08/11/2000 NVILLARI 00000020 500967  
02 FC:581 40.00 CH

- the amendment referred to in the declaration filed to complete the prior application and I hereby state, in accordance with the requirements of 37 CFR 1.60(b), that this amendment did not introduce new matter therein.

2. Amendments

- Cancel in this application original claims 1-16 of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
- A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

3. Petition for Suspension of Prosecution for the Time Necessary to File an Amendment

- There is provided herewith a Petition to Suspend Prosecution for the time necessary to file an amendment (new application filed concurrently).

4. Information Disclosure Statement

- An information disclosure statement is submitted herewith.

5. Fee Calculation (37 CFR 1.16)

	No. Filed	No. Extra	Rate	Basic Fee
				\$ 690.00
Total Claims	1 - 20 =	0 x	\$ 18 =	\$ .00
Independent Claims	1 - 3 =	0 x	\$ 78 =	\$ .00
[0] Multiple dependent claims			\$260 =	\$ .00

- Fee for extra claims is not being paid at this time. (37 CFR 1.16(d))

FILING FEE CALCULATION \$690.00

6. Small Entity Status

- A verified statement that this filing is by a small entity:
  - is attached
  - has been filed in the parent application and such status is still proper and desired (37 CFR 1.28(a)).

Filing Fee Calculation (50% of above) \$\_\_\_\_\_ .

7. Drawings

- A copy of the original information drawings is enclosed.
- Transfer the formal drawings from the prior application to this application and, subject to item 17 below, abandon said prior application as of the filing date according to this application. A duplicate copy of this request is enclosed for filing in the prior application file.
- Transfer the following sheets of drawing from the prior application to this application  
\_\_\_\_\_.
- A copy of the amendment canceling these sheets of drawing in the prior application, is attached.
- New drawings are enclosed
  - formal
  - informal

8. Priority - 35 USC 119

- Priority of application serial no. \_\_\_\_\_ filed on \_\_\_\_\_ in \_\_\_\_\_ is claimed under 35 USC 119.
- The certified copy has been filed in prior U.S. application serial no. \_\_\_\_\_ on \_\_\_\_\_.
- The certified copy will follow.

9. Relate Back - 35 USC 120

- Amend the specification by inserting before the first line the sentence:

"This is a

continuation

divisional

of copending application

Serial No. 09/197,440 filed on November 23, 1998.

International Application No. \_\_\_\_\_ filed on \_\_\_\_\_ and which designated the U.S."

10. Inventorship Statement

(a) With respect to the prior co-pending U.S. application from which this application claims benefit under 35 USC 120 the inventors in this application are:

the same

less than those named in the prior application and it is requested that the following inventors identified above for the prior application is deleted:

\_\_\_\_\_  
(Names of inventors to be deleted)

(b) The inventorship for all the claims in this application are:

the same

not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made, is submitted.

11. Assignment

The prior application is assigned of record to the United States of America.

An assignment of the invention to the United States of America, is attached. A separate  "Cover Sheet for

Assignment (Document) Accompanying New Patent Application" or  Form PTO 1906 is also attached.

12. Fee Payment being made at this time

Not enclosed

No filing fee is submitted.

Enclosed

basic filing fee \$690.00

recording assignment \$ 40.00  
(\$40.00 37 CFR 1.21 (h))

processing and retention \$ \_\_\_\_\_  
fee (\$130.00 37 CFR 1.53  
(d) and 1.21 (1))

TOTAL fees enclosed \$ 730.00

13. Method of Payment of Fees

Enclosed is a check in the amount of \_\_\_\_\_.

Charge Deposit Account No. 50-0967 in the amount of \$730.00. A duplicate of this request is attached.

14. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge the following additional fees which may be required by this paper and during the entire pendency of the application to Deposit Account No. 50-0967.

37 CFR 1.16 (a), (f) or (g) (filing fees)

37 CFR 1.16 (b), (c) and (d) (presentation of extra claims)

37 CFR 1.17 (application processing fees)

37 CFR 1.18 (issue fee at or before mailing Notice of Allowance, pursuant to 37 CFR 1.311 (b)).

15. Power of Attorney

- The power of attorney in the prior application is to:  
James B. Bechtel, Esq.  
Reg. No. 29,890  
Patent Counsel, NSWC Dahlgren Division
- The power appears in the original papers in the prior application.
- Since the power does not appear in the original papers, a copy of the power in the prior application is enclosed.
- A new power has been executed and is attached.
- Address all future communications to:  
  
James B. Bechtel  
Reg. No. 29,890  
Office of Counsel (Patents) Code CD222  
Naval Surface Warfare Center  
Dahlgren Division  
Dahlgren; VA 22448-5100  
Telephone: 540-653-8061  
Facsimile: 540-653-7816

16. Maintenance of Copendency of Prior Application

- A petition, fee and response has been filed to extend the term in the pending prior application until \_\_\_\_\_.
- A copy of the petition for extension of time in the prior application is attached.

17. Conditional Petition for Extension of Time in Prior Application

- A conditional petition for extension of time is being filed in the pending parent application.
- A copy of the conditional petition for extension of time in the prior application is attached.

18. Notification in Parent Application of the Filing of this Continuation Application

- A notification of the filing of this continuation is being filed in the parent application from which this application claims priority under 35 USC 120.

I hereby declare further that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

Date Aug 2, 2000

By James B. Bechtel

Attorney for Applicants  
Naval Surface Warfare Center  
Office of Counsel (Patents) (CD222)  
17320 Dahlgren Road  
Dahlgren, VA 22448-5100  
Telephone: 540-653-8061  
Facsimile: 540-653-7816

James B. Bechtel  
Reg. No. 29,890  
Customer No. 23501

CERTIFICATE OF MAILING VIA EXPRESS MAIL

I hereby certify that this paper (along with any referred to as being attached or enclosed is being deposited with the United States Postal Service on the date shown below with sufficient postage as to be sent by Express Mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231.

Date: \_\_\_\_\_

\_\_\_\_\_  
Beverly D. Cook



# ASSIGNMENT OF INVENTION

82528  
Navy Case No. 79412

WHEREAS, I(we), Francisco Santiago, Tak Kin Chu, Michael F. Stumborg and Kevin A. Boulais of Fredericksburg, Bethesda, Fredericksburg and Waldorf of Virginia, Maryland, Virginia and Maryland, respectively, while employed by the Government of the United States of America, hereinafter referred to as the Government, have made an invention entitled **GALLIUM ARSENIDE SEMICONDUCTOR DEVICES FABRICATED WITH INSULATOR LAYER**, identified as Navy Case No. 79412, and described in application for Letters Patent of the United States of America executed by me(us) on November 20, 1998, and

WHEREAS, the conditions under which the invention was made are such as to entitle the Government under Paragraph 1(a) of Executive Order 10096, to the entire right, title and interest therein, including foreign rights; and

WHEREAS, the Government is desirous of obtaining the entire right, title and interest in and to the invention disclosed in said application within the United States of America, its territories and possessions and other rights and benefits herein granted; and

WHEREAS, as to foreign rights, the Government desires an option to obtain such rights;

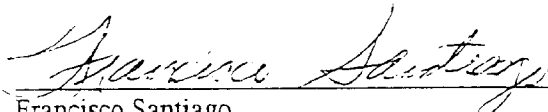
NOW, THEREFORE, in consideration of the premises and other good and valuable consideration, the receipt of which is hereby acknowledged, I(we) hereby assign and transfer to the United States of America as represented by the Secretary of the Navy the entire right, title, and interest in and to said invention within the United States of America, its territories and possessions, and the entire right, title and interest in and to said application and any continuation, division or substitution thereof, and such Letters Patent as may issue therefrom and any reissue or extensions thereof, said invention, application and Letters Patent to be held by the United States of America as represented by the Secretary of the Navy to the end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held by me(us) had this assignment not been made.

I(We) do hereby also grant unto the Government, the option to take the entire right, title and interest in and to the invention and all patent applications, patents and other forms of protection thereon in countries foreign to the United States of America within eight months of the filing date of any application for United States Letters Patent covering the invention; such option to be exercised by a written notification to me(us) within such eight months identifying the specific foreign countries in which the Government will file or cause to be filed an application for patent or other form of protection on the invention; and that the rights in the foreign countries not exercised under the option are left to me(us) subject to a nonexclusive, irrevocable, royalty-free license to the Government in any patent or other form of protection which may issue on the invention in any foreign country, including the power to issue sub-licenses for use in behalf of the Government and/or in furtherance of the foreign policies of the Government.

I(We) hereby further agree to make, execute, and deliver to the Government, any and all papers, documents, affidavits, statements, or other instruments that may be necessary in the prosecution of the application and of any continuation, division or substitution of the application, or any application for reissue or extension of said Letters Patent, and to assist the Government in every way in protecting the invention as may be requested, provided that any expense arising through such efforts will be paid by the Government.

IN TESTIMONY WHEREOF, I (we) have set my (our) hand(s) and affixed my (our) seal(s).


November 20, 1998  
(date)

 Seal  
Francisco Santiago

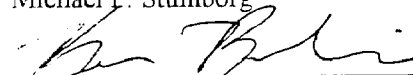
November 20, 1998  
(date)

 Seal  
Tak Kin Chu

X 10-Nov-98  
(date)

 Seal  
Michael F. Stumborg

20 Nov, 98  
(date)

 Seal  
Kevin A. Boulais

PATENT