

05-18-2001

FORM PTO-1595

REC

Rev. 6-93) OMB No 0651-0011 (EXP. 4/94)

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

101720667
5-1401

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

1. Name of conveying party(ies):

2. Name and address of receiving party(ies)

Carolyn M. Matzke, Dennis J. Rieger and Robert V. Ellis

SANDIA NATIONAL LABORATORIES
P. O. Box 5800 - MS-0161
Albuquerque, New Mexico 87185-0161

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

3. Nature of conveyance:

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

Execution Date(s): 4/16/01; 4/16/01 and 4/16/01

Additional name(s) & address(es) attached? ☐ Yes ☒ No

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

09/836,594

Filed: 04/16/01

Issued:

Additional numbers attached? ☐ Yes ☒ No

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

6. Total number of applications and patents involved: one (1)

Name: Timothy D. Stanley
Sandia National Laboratories
 Internal Address: Patent & Licensing, 11500

7. Total fee (37 CFR 3.41) \$40.00☐ EnclosedMail Stop 0161☒ Authorized to be charged to deposit accountStreet Address: P. O. Box 58008. Deposit Account number: 19-0131City: Albuquerque State: NM ZIP: 87185-0161

(Attach duplicate copy of this page if paying by 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.

Timothy D. Stanley

Signature

Date

Total number of pages including cover sheet, attachments, and document: 6

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

PATENT
REEL: 011799 FRAME: 0359

April 16, 2001

ASSIGNMENT

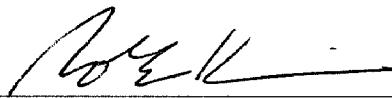
WHEREAS Carolyn M. Matzke of Los Lunas, New Mexico, Dennis J. Rieger of Tijeras, New Mexico and Robert V. Ellis of Albuquerque, New Mexico; has(have) made an invention relating to Silica Substrate or Portion formed From Oxidation of Monocrystalline Silicon in the course of the work authorized by Contract DE-AC04-94AL85000 between SANDIA CORPORATION and the UNITED STATES DEPARTMENT OF ENERGY, said invention being disclosed and claimed in an application for United States patent, identified as DOE Docket No: S-95,475 duly executed by said inventor(s); and

WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy has granted a waiver of Government rights in the above-identified invention to Sandia Corporation under Class Waiver W(C)93-012, effective October 1, 1993; and

WHEREAS, Robert V. Ellis, being Inventor(s) of said invention and employee(s) of L & M Technologies, Incorporated (hereafter L & M) at the time said invention was made, the Parties signing below, in consideration of *pro rata* share to be taken from twenty percent (20%) of royalties obtained by Sandia Corporation in any future licensing of said invention and to be paid annually to L & M for distribution to the above L & M Inventors as L & M sees fit, and with said pro rata share further being limited to a maximum of \$100,000 annually per L & M Inventor, have agreed, among other things, to assign to Sandia Corporation its successors and assigns, their entire right, title, and interest, if any, in and to said invention and in and to all resulting patents, wherever they may be granted, as well as reissues or extensions of said patents.

The above-named L & M Inventor(s) further agree, at the request of Sandia Corporation, to make, execute and deliver to Sandia Corporation, the Government, or other party prosecuting patent applications on this invention, any and all papers, documents, affidavits, applications, statements or other instruments relating to said invention, take all rightful oaths and do all act as may reasonably be required of them in or incident to the prosecution of any or all applications on said invention or in the adjustment or settlement of any interferences or other actions or proceedings that said applications or patents thereon may encounter or in which they may be involved.

Signed at Albuquerque, New Mexico



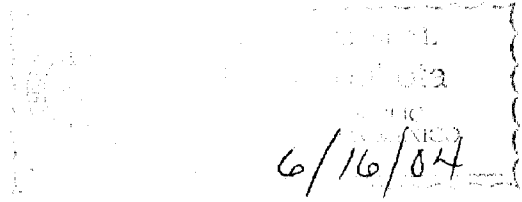
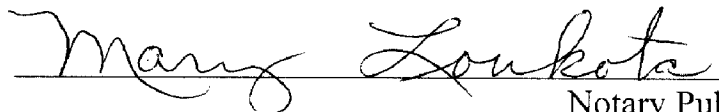
Robert V. Ellis

4/16/01

Date

STATE OF NEW MEXICO)
) ss:
COUNTY OF BERNALILLO)

On the dates listed above, personally appeared before me, Mary Loukota, Notary Public, ROBERT V. ELLIS, to me known to be the individual(s) described in and who executed the foregoing instrument, and who acknowledged to me that he executed the same.

Notary Public

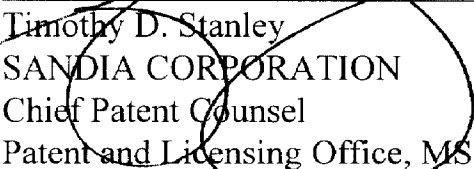
Approved and consented to this 16th day of April, 2001.



L & M TECHNOLOGIES, INC.

4/26/01

Date



Timothy D. Stanley
SANDIA CORPORATION
Chief Patent Counsel
Patent and Licensing Office, MS 0161

April 16, 2001

ASSIGNMENT

WHEREAS, Carolyn M. Matzke of Los Lunas, New Mexico, and Dennis J. Rieger of Tijeras, New Mexico; has(have) made an invention relating to Silica Substrate or Portion Formed From Oxidation of Monocrystalline Silicon in the course of the work authorized by Contract DE-AC04-94AL85000 between SANDIA CORPORATION and the UNITED STATES DEPARTMENT OF ENERGY, said invention being disclosed and claimed in an application for United States patent, identified as DOE Docket No: S-95,475 duly executed by said inventor(s); and

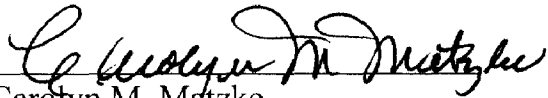
WHEREAS, Inventor(s), in consideration of employment by Sandia Corporation, has(have) agreed, among other things, to assign to Sandia Corporation, its successors and assigns, all rights to inventions, discoveries, or improvements made or conceived in the course of his/her/their their employment; and

WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy has granted a waiver of Government rights in the above-identified invention to Sandia Corporation under Class Waiver W(C)93-012, effective October 1, 1993; and

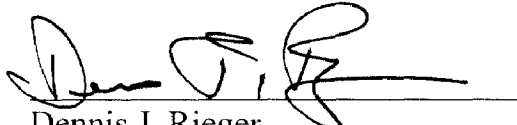
THEREFORE, Inventor(s) hereby sells, assigns, and transfers unto Sandia Corporation his/her/their entire right, title, and interest in and to said invention and in and to all resulting patents, wherever they may be granted, as well as reissues or extensions of said patents.

Inventor(s) covenants with Sandia Corporation that, except for the rights, if any, of the Government, his/her/their interest in the rights and property herein conveyed is free and clear of any encumbrance and that they have full right to convey the same as herein expressed. They agree, at the request of Sandia Corporation, to make, execute, and deliver to Sandia Corporation, the Government, or other party prosecuting patent applications on this invention, any and all papers, documents, affidavits, applications, statements or other instruments relating to said invention, take all rightful oaths and do all acts as may reasonably be required of him/her/them in or incident to the prosecution of any or all applications on said invention or in the adjustment or settlement of any interferences or other actions or proceedings that said applications or patents thereon may encounter or in which they may become involved.

Signed at Albuquerque, New Mexico


Carolyn M. Matzke

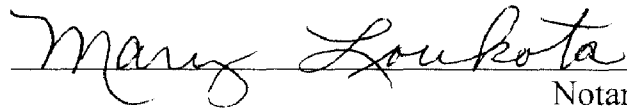
4/16/01
Date

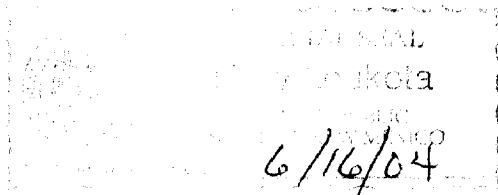

Dennis J. Rieger

4/16/01
Date

STATE OF NEW MEXICO)
) ss:
COUNTY OF BERNALILLO)

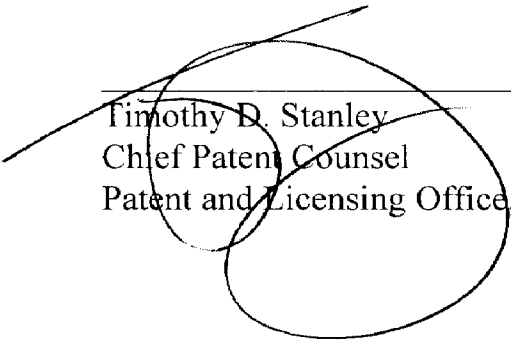
On the dates listed above, personally appeared before me, Mary Loukota, Notary Public, Carolyn M. Matzke and Dennis J. Rieger, to me known to be the individual(s) described in and who executed the foregoing instrument, and who acknowledged to me that they executed the same.


Notary Public



Approved and consented to this 16th day of April, 2001.

SANDIA CORPORATION



Timothy D. Stanley
Chief Patent Counsel
Patent and Licensing Office, MS 0161