

FORM PTO
Expires 06/30/99
OMB 0651-0027



09-21-2001

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



101852306

RECORDATION FORM COVER SHEET PATENTS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- ☒ New *09/14/01*
- ☐ Resubmission (Non-Recordation)
Document ID#
- ☐ Correction of PTO Error
Reel # Frame #
- ☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☐ Assignment ☐ Security Agreement
- ☐ License ☐ Change of Name
- ☐ Merger ☒ Other
- U.S. Government**
(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
Month Day Year

Name (line 1)

09/04/01

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)

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

DC

20546

City

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

749

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

REEL: 012172 FRAME: 0548

FORM PTO-1619B

Expires 06/30/99
OMB 0651-0027

Page 2

U.S. Department of Commerce
Patent and Trademark Office
PATENT**Correspondent Name and Address**Area Code and Telephone Number **202-358-2040**Name **Kathy Bayer**Address (line 1) **National Aeronautics and Space Admin**Address (line 2) **300 "E" Street, SW., Code GP**Address (line 3) **Washington, DC 20546**

Address (line 4)

PagesEnter the total number of pages of the attached conveyance document
including any attachments.# **1****Application Number(s) or Patent Number(s)**☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)**09883085****Patent Number(s)**If this document is being filed together with a new Patent Application, enter the date the patent application was
signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number

only if a U.S. Application Number
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved.

1**Fee Amount**Fee Amount for Properties Listed (37 CFR 3.41): \$ **0**Method of Payment:
Deposit AccountEnclosed ☐Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

#

Authorization to charge additional fees:

Yes ☐No ☐**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**

Name of Person Signing

Signature

9/12/01

Date



License to the Government

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 _____ 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: Direct Electrical-To-Optical Conversion and Light Modulation in Micro Whispering-Gallery-Mode Resonators

Patent Application Serial No.: 09/883,085 Filed: 5/15/2001	Contractor: California Institute of Technology Contractor Case No.: 3237 NASA Case No.: NPO 20785 Contract No.: NAS7-1407
---	--

Inventor(s): Lutfullah Maleki; Anthony Frederic J. Levi

The Contractor/Inventor agrees to conclude, 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 NAS7-1407 awarded by 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.

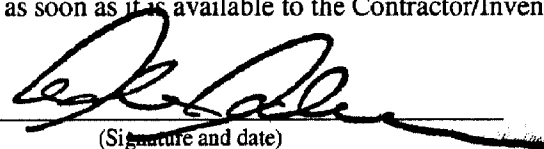
Title to this Invention is subject to March-In-Rights by the NASA as stated in 35 U.S.C. § 203 and FAR 52.227-11(j).

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

The Intellectual Property Counsel

(Typed name and title of Corporate Officer)


(Signature and date)

NASA FORM 1604 AUG 89 PREVIOUS EDITION IS OBSOLETE

September 4, 2001

RECORDED: 09/14/2001

PATENT 749
REEL: 012172 FRAME: 0550