

01-30-2002



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PATENT

torney Docket No. IB-1632 (LBL-IB-1632)

Applicant: RONALD P. READE; PAUL H. BERDAHL; RICHARD E. RUSSO  
Serial No.: 09/739,391  
Filed: DECEMBER 15, 2000  
Title: PARTICLE BEAM BIAxIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH  
Group:  
Examiner:

**BOX ASSIGNMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**ASSIGNMENT (DOCUMENT) COVER LETTER**

**PATENT OR PATENT APPLICATION**

1. **NAMES OF PARTY(IES) MAKING TRANSFER**

Name 1: RONALD P. READE  
Name 2: PAUL H. BERDAHL  
Name 3: RICHARD E. RUSSO

2. **IDENTITY OF PARTY(IES) TO WHOM TRANSFER IS MADE**

This transfer is being made to:

Name: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA  
Address: 1111 FRANKLIN STREET, 12<sup>TH</sup> FLOOR  
OAKLAND, CA 94607-5200

3. **INTENTION OF DOCUMENT**

A brief description of what the accompanying document intends to accomplish is that it is an:

- ☒ Assignment  
☐ License  
☐ Security Interest  
☐ Other

01/29/2002 TDIHL 00000227 09739391

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09/739,391

Page 1 of 3

**PATENT**  
**REEL: 012509 FRAME: 0109**

4. **IDENTIFICATION OF PATENT OR APPLICATION**

Particulars of the patent or application to which the accompanying document applies are:

Inventor(s): RONALD P. READE; PAUL H. BERDAHL; RICHARD E. RUSSO

For (title): PARTICLE BEAM BIAxIAL ORIENTATION OF A SUBSTRATE FOR EPITAXIAL CRYSTAL GROWTH

(a) ☐ U.S. patent application filed herewith.

(b) ☒ U.S. patent application serial no. 09/739,391 filed on DECEMBER 15, 2000.

(c) ☐ U.S. patent no. \_\_\_\_\_ issued \_\_\_\_\_.

5. **NAME AND ADDRESS TO WHICH CORRESPONDENCE SHOULD BE MAILED**

Please address all correspondence and return the recorded document to:

John P. O'Banion  
O'BANION & RITCHEY LLP  
400 Capitol Mall, Suite 1550  
Sacramento, CA 95814

6. **NUMBER OF APPLICATIONS OR PATENTS IDENTIFIED AND TOTAL FEE DUE**

The number of applications or patents identified herein is: 1

Total Fee Due \$ 40.00

7. **DATE DOCUMENT WAS EXECUTED**

The accompanying document was executed on: DECEMBER 14, 2000.

8. **FEE PAYMENT**

Fee payment is provided for as follows:

☐ New Application transmittal (Item 18 - INCLUDED IN FILING FEE)

☐ FWC Transmittal (Item VII)

☐ Transmittal of Filing under 37 CFR 1.60(b) (Item 11)

☒ Attached is a check in the sum of \$40.00

X Charge Account No. 07-1137 if any additional fee is due.

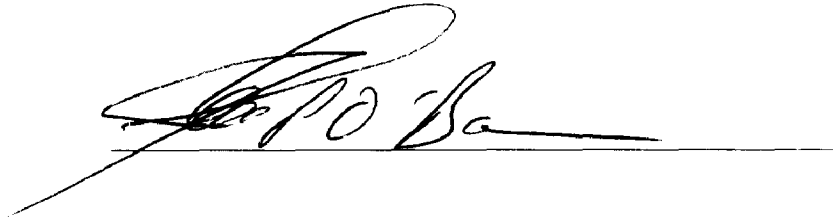
\_\_\_ Charge Account No. \_\_\_ in the sum of \_\_\_ A duplicate of this transmittal is attached.

9. **STATEMENT OF AUTHENTICITY**

The undersigned certifies that, to the best of his or her knowledge and belief, the information contained in this cover sheet is true and correct, and any copy of the document submitted for recording is a true copy of the original document.

10. **SIGNATURE**

Dated: 1/15/02

A handwritten signature in dark ink, appearing to read "John P. O'Banion", is written over a horizontal line.

John P. O'Banion, Reg. No. 33,201  
O'BANION & RITCHEY LLP  
400 Capitol Mall, Suite 1550  
Sacramento, CA 95814  
(916) 498-1010

ASSIGNMENT

LNBL Case No. IB-1632

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S)

1. Ronald P. Reade      2. Paul H. Berdahl      3. Richard E. Russo

hereby sells, assign(s) and transfer(s) to ASSIGNEE, The Regents of The University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12<sup>TH</sup> Floor, Oakland, CA 94607-5200 and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**Particle Beam Biaxial Orientation of a Substrate for Epitaxial Crystal Growth**

and which is found in

- (a) ☐ U.S. patent application executed concurrently herewith, entitled as above, and listing the above named persons as inventors.
- (b) ☒ U.S. application serial no. 09/739,391 filed on Dec. 15, 2000
- (c) ☐ U.S. Patent No.: \_\_\_\_\_, issued \_\_\_\_\_

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may necessary or desirable to carry out the purposes thereof. Any attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of The University of California.



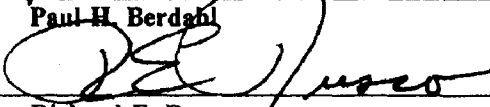
executed this:

Signature of Inventor(s)

14 day of December, 2000

14 day of December, 2000

14 day of December, 2000

  
\_\_\_\_\_  
Ronald P. Reade  
  
\_\_\_\_\_  
Paul H. Berdahl  
  
\_\_\_\_\_  
Richard E. Russo