

02-06-2002

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Form PTO-1595

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U.S. Department of Commerce

Docket No. 510015-243

101973350

To the Hon. Commissioner of Patents & Trademarks: Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies):</p> <p>Jin K. Kim and Andrew Huntington</p> <p>Additional name of conveying party attached? ___ Yes <u>XX</u> No</p>	<p>2. Name and address of receiving party(ies)</p> <p>Name <u>The Regents of the University of California</u></p> <p>Street Address: <u>1111 Franklin Street, 12th Floor</u></p> <p>City: <u>Oakland</u> State <u>CA</u> ZIP <u>94607-5200</u></p> <p>Additional name(s) and address(es) attached? ___ Yes <u>XX</u> No</p>
<p>3. Nature of conveyance:</p> <p><u>X</u> Assignment ___ Merger</p> <p>___ Security Agreement ___ Change of Name</p>	
<p>Submitted in counterparts – 3 pages:</p> <p>Execution Date(s): <u>December 3 and 15, 2001</u></p>	

<p>4. Application number(s) or patent numbers:</p> <p>If this document is being filed together with a new application, the execution date of the application is: <u>September 14, 2001</u>.</p> <p>A. Patent Application No.(s) <u>09/953,576</u></p> <p>B. Patent No.(s)</p> <p>Additional numbers attached? ___ Yes <u>XXX</u> No</p>	
<p>5. Name and address party to whom correspondence concerning document should be mailed:</p> <p>Name <u>Marc P. Bobys, Esq.</u></p> <p>Internal Address: <u>38th Floor</u></p> <p>Street Address <u>2029 Century Park East</u></p> <p>City: <u>Los Angeles</u> State <u>CA</u> ZIP <u>90067</u></p>	<p>6. Total number of applications and patents involved: <u>1</u></p> <p>7. Total fee (37 CFR 3.41) <u>\$40.00</u></p> <p><u>X</u> Enclosed (Check No. 024374)</p> <p><u>X</u> Any discrepancy or overpayment is authorized to be charged to deposit account</p> <p>8. Deposit Account number: <u>16-2230</u></p> <p>(Attach duplicate copy of this page if paying by deposit account)</p>

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<p>9. Statement and signature.</p> <p><i>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.</i></p> <p><u>Marc P. Bobys, Reg. No. 45,267</u> <u>December 18, 2001</u></p> <p>Name of Person Signing Signature Date</p> <p>Total number of pages including cover sheet, attachments, and document: <u>4</u></p> <p>Documents to be recorded with required cover sheet information to:</p> <p>Commissioner of Patents and Trademarks, Box Assignments,</p> <p>Crystal Gateway 4, Room 335, Washington, D.C. 20231</p>	
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LA: 299558 v01 12/17/2001

PATENT
REEL: 012536 FRAME: 0100

ASSIGNMENT

U.C. Case No. 2001-085-2

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS,

1. Jin K. Kim

2. Andrew Huntington

hereby sell, assign and transfer to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th 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:

HETEROGENEOUS COMPOSITE SEMICONDUCTOR STRUCTURES FOR ENHANCED OXIDE AND AIR APERTURE FORMATION FOR SEMICONDUCTOR LASERS AND DETECTORS AND METHOD OF MANUFACTURE

and which is found in

(a) _____ U.S. provisional application filed herewith and listing the above named persons as inventors

(b) _____ U.S. patent application filed herewith and listing the above named persons as inventors

(c) X U.S. application serial no. 09/953,576, filed on September 14, 2001

(d) _____ 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, conversion to 35 USC 111(a) 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;

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNORS further covenant 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 equivalent as may be known and accessible to ASSIGNORS 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 be necessary or desirable to carry out the purposes thereof. An 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 ASSIGNORS request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States an any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

Executed this

Signature of Inventors

15th day of December, 2001


Jin K. Kim

____ day of _____, 2001

Andrew Huntington

ASSIGNMENT

U.C. Case No. 2001-085-2

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS,

1. Jin K. Kim

2. Andrew Huntington

hereby sell, assign and transfer to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th 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:

HETEROGENEOUS COMPOSITE SEMICONDUCTOR STRUCTURES FOR ENHANCED OXIDE AND AIR APERTURE FORMATION FOR SEMICONDUCTOR LASERS AND DETECTORS AND METHOD OF MANUFACTURE

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above named persons as inventors
(b) _____ U.S. patent application filed herewith and listing the above named persons as inventors
(c) X U.S. application serial no. 09/953,576, filed on September 14, 2001
(d) _____ 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, conversion to 35 USC 111(a) 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;

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNORS further covenant 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 equivalent as may be known and accessible to ASSIGNORS 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 be necessary or desirable to carry out the purposes thereof. An 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 ASSIGNORS request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States an any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

Executed this

Signature of Inventors

_____ day of _____, 2001

Jin K. Kim

3 day of December, 2001

Andrew Huntington