

02-25-2002



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 (Rev. 06-01-99)

OMB No. 0651-0027 (exp. 5/31/2002)

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

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

**RECORDATION FORM COVER SHEET
 PATENTS ONLY**

1. Name of conveying party(ies):

2. Name and address of receiving party(ies)

TO: The Commissioner of Patents and Trademarks

Please record the attached original document(s) or copy(ies).

Submission Type
☐ James D. Heindl
☐ New
Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

Document ID#

3. Nature of conveyance:

☐ Correction of PTO Error
☒ Assignment

☐ Reel # _____ Frame # _____

☐ Corrective Agreement ☐ Change of Name

☐ Reel # _____ Frame # _____

☐ Other

Conveying Party(ies)

06/07/2001

Name (line 1) 06/14/2001

Execution Date:

Name (line 2)

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

Second Party

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

A. Patent Application No.(s) 09/848,935

Name (line 2)

B. Patent No.(s)

Receiving PartyAdditional numbers attached? ☐ Yes ☒ No

Mark if additional names of receiving parties attached

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

Name (line 1) Ryan A. Schneider

Address (line 1) Troutman Sanders LLP

Internal Address:

Address (line 2)

Address (line 3)

City

State

Zip

Street Address

Suite

Name

City

State

Zip

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

Ryan A. Schneider

Name of Person Signing

Signature

Date

FOR OFFICE USE ONLY

Total number of pages including cover sheet, attachments, and documents:

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

Commissioner of Patents & Trademarks, Box Assignments

Washington, D.C. 20231

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.

REEL: 012591 FRAME: 0058

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

1. Name of conveying party(ies):

7-1201

Thomas K. Gaylord
Elias N. Glytis
James D. Meindl

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

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: June 7, 2001

2. Name and address of receiving party(ies)

Name: Georgia Tech Research Corp.

Internal Address: _____

Street Address: 505 Tenth StreetCity: Atlanta State: GA Zip: 30332Additional name(s) & address(es) attached? ☐ Yes ☐ No

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

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

A. Patent Application No.(s)

09/848,935

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Todd DeveauInternal Address: Troutman Sanders LLPStreet Address: 600 Peachtree St, N.E.Suite 5200City: Atlanta State: GA Zip: 303086. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41).....\$ 40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number: 20-1507

(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.

Roger S. Williams

Name of Person Signing

Roger S. Williams

Signature

7-9-2001

Date

07/17/2001 11:01 AM 00000223 09848935 Total number of pages including cover sheet, attachments, and documents: 1

01 FC:581

40.00

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

ASSIGNMENT

WHEREAS, we, Thomas K. Gaylord, Elias N. Glytsis, and James D. Meindl have invented certain improvements in **PHASE MASK CONSISTING OF AN ARRAY OF MULTIPLE DIFFRACTIVE ELEMENTS FOR SIMULTANEOUS ACCURATE FABRICATION OF LARGE ARRAYS OF OPTICAL COUPLERS AND METHOD FOR MAKING SAME** for which a patent application was filed on May 3, 2001 in the United States Patent and Trademark Office and accorded Serial No. 09/848,935 and whereas

GEORGIA TECH RESEARCH CORPORATION
400 Tenth Street
Atlanta, Georgia 30332

desires to purchase the same;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00) and other good and valuable considerations paid by the said

GEORGIA TECH RESEARCH CORPORATION

the receipt and sufficiency of which are hereby acknowledged, we have and by these presents do hereby sell, assign, transfer and convey unto the said

GEORGIA TECH RESEARCH CORPORATION

in and for the United States and its territories and for foreign countries, the entire right, title and interest in and to said application and any other intellectual property claiming priority thereto, in and to the inventions therein set forth, and in and to any other U.S., International and/or Foreign patent or other intellectual property now known or in the future that may issue on or claim priority to said application, and/or any conventional, division, continuation, continuation-in-part, reissue, renewal, reexam, continued prosecution application ("CPA"), or Request for Continued Examination ("RCE") thereof; and we hereby bind ourselves, our heirs, legal representatives, administrators and assigns properly to execute without further consideration, any and all applications, petitions, oaths and assignments or other papers and instruments that may be necessary in order to carry into full force and effect the sale, assignment, transfer and conveyance hereby made or intended to be made.

IN WITNESS WHEREOF, I have hereunto set my hand and seal this 7 day of June, 2001.

State of Georgia)

County of DeKalb)

On this 7 day of June, 2001, before me, a notary public, came to me known and known to be the individual described in and who executed the foregoing assignment, and he duly acknowledged the same to be his free act and deed.

(SEAL)

Thomas K Gaylord (SEAL)
Thomas K. Gaylord
June 7, 2001
Date

James D Meindl
NOTARY PUBLIC
My Commission Expires: 9 3 01

IN WITNESS WHEREOF, I have hereunto set my hand and seal this 7 day of
June, 2001.

Elias N. Glytis (SEAL)
Elias N. Glytis
June 7, 2001
Date

State of Georgia)

County of DeKalb)

On this 7 day of June, 2001, before me, a notary public, came to me known and known to be the individual described in and who executed the foregoing assignment, and he duly acknowledged the same to be his free act and deed.

(SEAL) Catherine D. Marks
NOTARY PUBLIC
My Commission Expires:

IN WITNESS WHEREOF, I have hereunto set my hand and seal this 7 day of
June 14, 2001.

James D. Meindl (SEAL)
James D. Meindl
June 14, 2001
Date

State of Georgia)

County of DeKalb)


On this 14th day of June, 2001, before me, a notary public, came to me known and known to be the individual described in and who executed the foregoing assignment, and he duly acknowledged the same to be his free act and deed.

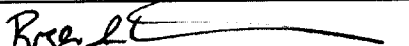
(SEAL) Catherine D. Marks
NOTARY PUBLIC Catherine D. Marks
My Commission Expires: June 7, 2005

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/848,935
	Filing Date	May 3, 2001
	First Named Inventor	GAYLORD, T., et al.
	Group Art Unit	2874
	Examiner Name	Unassigned
Attorney Docket Number		GTRC80
Total Number of Pages in This Submission 5		

ENCLOSURES (check all that apply)						
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 C.F.R. § 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney or Authorization of Agent <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">Return Postcard</div>				
<table border="1" style="width: 100%; border-collapse: collapse;"><tr><td style="width: 30%; text-align: center;">Remarks</td><td></td></tr><tr><td colspan="2" style="height: 80px;"></td></tr></table>			Remarks			
Remarks						

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Roger S. Williams, Reg. No. 43,273
Signature	
Date	7-9-2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Commissioner for Patents, Box Assignment, Washington, D.C. 20231 on this date: 			
Typed or printed name			
Signature		Date	7-9-2001

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**FEE TRANSMITTAL
for FY 2001**

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT (\$40.00)**Complete if Known**

Application Number	09/848,935
Filing Date	May 3, 2001
First Named Inventor	GAYLORD, T., et al.
Examiner Name	Not Assigned
Group Art Unit	2874
Attorney Docket No.	GTRC80

METHOD OF PAYMENT

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit
Account
Number

20-1507

Deposit
Account
Name

TROUTMAN SANDERS LLP

☒ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17☒ Applicant Claims small entity status.
See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money
Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	180	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)**2. EXTRA CLAIM FEES**

Total Claims		Extra Claims	Fee from below	Fee Paid
	- 20** =		X \$	= \$
Independent Claims	- 3** =		X \$	= \$
Multiple Dependent				=

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Fee Code	Large Entity Fee (\$)	Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40.**SUBMITTED BY**

Name (Print/Type) Roger S. Williams

Registration. No. 43,273
(Attorney/Agent)**Complete (if applicable)**

Telephone 404-885-3582

Signature

Date

7-9-2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

**PATENT
REEL: 012591 FRAME: 0063**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)	
)	
GAYLORD, T., et al.)	Art Unit: 2874
)	
Serial No.: 09/848,935)	Examiner: Unknown
)	
Filed: 3 May 2001)	
)	
For: Phase Mask Consisting of an Array of)	
Multiple Diffractive Elements . . .)	

REQUEST FOR CORRECTED
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

BOX: ASSIGNMENTS
Honorable Commissioner of
Patents
Assignment Division, CG4
1213 Jefferson Davis Hwy, Suite 320
Washington, D.C. 20231

Atlanta, Georgia 30308-2216

Dear Sir:

The Notice of Recordation of Assignment Document dated 20 September 2001 has been received and reviewed. The Assignment Recordation Cover Sheet submitted on 9 July 2001 misspelled one of the conveying parties' name as Elias N. Glytis. The correct spelling is Elias N. Glytsis.

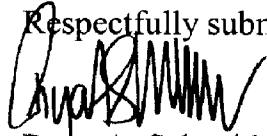
Applicant encloses a new Assignment Recordation Cover Sheet, the Notice of Recordation of Assignment Document dated 20 September, 2001, the original assignment recordation cover sheet, and the original assignment with transmittal forms.

Applicant respectfully requests a corrected Notice of Recordation of Assignment Document.

Applicant believes no fee is due; however, the Commissioner is hereby authorized to charge

any additional fees and credit any overpayment to PTO Account 20-1507.

Respectfully submitted,



Ryan A. Schneider

Registration No. 45,083

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Honorable Commissioner of Patents,

Box: Assignments, Assignment Division, CG-4

1213 Jefferson Davis Hwy, Suite 320

Washington, D.C. 20231 on January 15, 2002

Virginia Hamilton

Name of Applicant Assignee, or
Registered Representative

Virginia Hamilton

Signature

January 15, 2002

Date

Troutman Sanders

Bank of America Plaza, Suite 5200

600 Peachtree Street, N.E.

Atlanta, Georgia 30308-2216

404.885.2773



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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/848,935

Filing Date 3 May 2001

First Named Inventor Gaylord, T., et al.

Group Art Unit 2874

Examiner Name Unknown

Total Number of Pages in This Submission 10

Attorney Docket Number GTRC80

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment/Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☐ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☒ Assignment Papers

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s)

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

Return Postcard; Request for Corrected Notice of Recordation of Assignment Document

Remarks:

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name Ryan A. Schneider, Reg. No. 45,083

Signature

Date

15 JAN 02

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Assignment Division, 1213 Jefferson Davis Hwy., Suite 320, Washington, D.C. 20231 on this date: 1/15/02

Typed or printed name Virginia Hamilton

Signature

Virginia Hamilton

Date

January 15, 2002

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**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SEPTEMBER 20, 2001

PTAS



101781493A

TROUTMAN SANDERS LLP
TODD DEVEAU
600 PEACHTREE ST, N.E.
SUITE 5200
ATLANTA, GA 30308

**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/12/2001

REEL/FRAME: 011976/0111
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

GAYLORD, THOMAS K.

DOC DATE: 06/07/2001

ASSIGNOR:

GLYTIS, ELIAS N.

DOC DATE: 06/07/2001

ASSIGNOR:

MEINDL, JAMES D.

DOC DATE: 06/07/2001

ASSIGNEE:

GEORGIA TECH RESEARCH CORP.
505 TENTH STREET
ATLANTA, GEORGIA 30332

SERIAL NUMBER: 09848935

PATENT NUMBER:

FILING DATE: 05/03/2001

ISSUE DATE:

SEP 20 2001

**PATENT
REEL: 012591 FRAME: 0067**

JOANN STEWART, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS