

05-02-2002

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE



SHEET

102075570

Our Docket No.: 13947

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



1. Name of conveying party(ies):  
The Governing Council of the  
University of Toronto

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies)  
Name: Ravi BHAT

Street Address: 109 Lippincott  
Street

City: Toronto State Ontario

Zip: M5S 2P2

Canada

Additional name(s) & address(es) attached?

☒ Yes ☐ No

3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name

☐ Other

Execution Date: 09/12/2000

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: \_\_\_\_\_

Title: COHERENT CONTROL OF SPIN CURRENTS

A. Patent Application No.(s)

10/103,147 Filed: 03/22/2002 |

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Ralph A. Dowell

Internal Address: \_\_\_\_\_

Street Address: Suite 309,  
1215 Jefferson Davis Highway  
Arlington, VA 22202-3124  
(703) 415-2555

6. Total number of applications and patents  
involved: 1

7. Total fee (37CFR 3.41).....\$ 40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number: \_\_\_\_\_

(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.

Ralph A. Dowell 26,868

Name of Person signing

Signature

04/25/2002

Date

Total number of pages including cover sheet, attachments and documents: 5

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

05/01/2002 LNUELLER 00000142 10103147

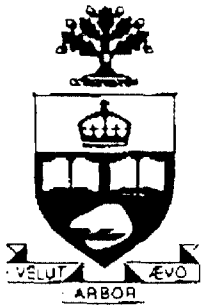
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**ADDITIONAL NAMES AND ADDRESSES OF RECEIVING PARTIES:**

John SIPE  
1217-45 Carlton Street  
Toronto, Ontario  
Canada M5B 2H9

Henry VAN DRIEL  
386 Clarksville Court  
Mississauga, Ontario  
Canada L5A 1G8



# University of Toronto

OFFICE OF THE VICE-PRESIDENT — RESEARCH AND INTERNATIONAL RELATIONS

## ASSIGNMENT OF RIGHTS FROM THE UNIVERSITY OF TORONTO

In consideration of the terms and mutual covenants hereinafter contained and other good and valuable consideration in the sum of Two Dollars (\$2.00) of lawful money of Canada paid by each of the parties to the other, the receipt and sufficiency of which are hereby acknowledged, **The Governing Council of the University of Toronto**, its successors and assigns (collectively the "Assignor"), **Ravi Bhat, John Sipe, and Henry Van Driel**, their heirs, executors, administrators and assigns (collectively the "Assignee") covenant and agree as follows:

### 1. Definitions

As used in this Assignment, the following terms shall have the following meanings:

- (a) "Net Revenues" shall mean the royalty, licensing and other revenue directly or indirectly received by the Assignee from all rights held by the Assignee in the Invention less legal and other fees that the Assignee incurs directly in the process of establishing and maintaining the legal protection of those rights.
- (b) "Equivalent Revenues" shall mean the fair market value of non-cash consideration directly or indirectly received by the Assignee from all rights held by the Assignee in the Invention.
- (c) "Invention" shall mean the **"Coherent Control of Spin Currents"** described in Appendix A annexed hereto.
- (d) "Aggregate Revenue" shall mean the aggregate of Net Revenues plus Equivalent Revenues.

### 2. Assignment of Rights

The Assignor hereby assigns to the Assignee all right, title and interest, whatever the same may be (but without any representation or warranty as to the nature, extent or validity thereof) which the Assignor now has or may in the future have in the Invention including without limitation all copyrights, trade secrets and the right to apply for patents in Canada, the United States of America and any other country, the right to receive any letters patent that may issue from any such applications and the right to sell or license the Invention subject to the rights granted to Photonics Research Ontario (PRO) under the University Collaboration Agreement effective January 1, 1998 between PRO and the Assignor.

Simcoe Hall, Room 133S, 27 King's College Circle, Toronto ON, M5S 1A1  
☎ 416.978.7833 ☎ 416.978.5821 ✉ monique.mcnaughton@utoronto.ca

**PATENT**  
**REEL: 012842 FRAME: 0027**

3. Licence to Use

Notwithstanding the rights granted above, the Assignor shall retain a royalty-free, non-exclusive licence to use the Invention for research, educational and administrative purposes.

4. Consideration for Rights

In consideration of the rights granted the Assignee pursuant to this Assignment, the Assignee agrees to pay the Assignor 25% of the Aggregate Revenue (the "Assignor's Share of Revenue").

5. Annual Report

The Assignee agrees to provide the Assignor with an annual report on or before the thirtieth day following the anniversary of the execution of this Assignment outlining the patent, license and ownership status of the Invention.

6. Payments

The Assignor's Share of Revenue shall be paid to the Assignor annually on or before the thirtieth day following the anniversary of the execution of this Assignment accompanied by a statement of the Net Revenues and Equivalent Revenues received by the Assignee during the previous twelve months and a computation of the Assignor's Share of Revenue. The Assignor's Share of Revenue, as and when received by the Assignee, shall be deemed to be held by the Assignee in trust for the Assignor until such time as it is paid in full to the Assignor.

7. Accounting Records

The Assignee agrees to maintain proper accounting records in respect of the Net Revenues and Equivalent Revenues received for the Invention. The Assignor and/or its representatives shall have the right once each year at the Assignor's expense to inspect and make copies of such books and accounting records (the "Records"). If following such inspection the Aggregate Revenue is found to have been understated by more than 5%, then the Assignee shall pay the costs of such inspection provided that such understatement had not been uncovered and corrected by the Assignee. In the event that the Assignee fails to maintain satisfactory Records according to generally accepted accounting principles, the Assignor shall have the right without the Assignee's consent to engage at the Assignee's expense a firm of chartered accountants (the "Accountants") for the purpose of maintaining the Records. In fulfilling their responsibilities, the Accountants may notify any interested person to direct to the Accountants any Net Revenues and Equivalent Revenues and the Accountants may deduct their fees in respect of their services from the share of the Aggregate Revenue payable to the Assignee.

8. Indemnity

The Assignee agrees to indemnify and save the Assignor harmless from and against any loss arising out of or pursuant to any claims or demands in connection with the Invention and all costs, damages and expenses (including reasonable legal fees) incurred by the Assignor in connection therewith.

9. Release

Save and except for the right to enforce the terms contained in this Assignment, the Assignor releases the Assignee from any and all claims that the Assignor may now have or may in future have in respect of the Invention.

10. Consent to Further Assignment

Notwithstanding anything in this Assignment, the Assignee shall not assign or license any or all of the Assignee's rights to the Invention, or amend any such agreements, without the prior written consent of the Assignor, such consent not to be unreasonably withheld.

11. Use of Name

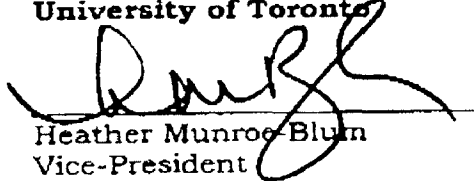
The Assignee shall not use the name of the Assignor or any part thereof nor any modification or abbreviation thereof or cause or permit the same to be used in any way in association or connection with the Invention or in the development, exploitation, sale or licensing thereof, without the prior express written consent of the Assignor.

12. Titles

Paragraph titles in this Assignment are for purposes of convenience only and shall not be used in the interpretation of this Assignment.

Executed at Toronto, Ontario this 12<sup>th</sup> day of September, 2000.

The Governing Council of the  
University of Toronto

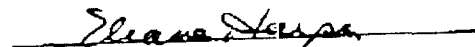
  
Heather Munroe-Blum  
Vice-President  
Research and International Relations

  
Louis R. Charpentier  
Secretary


Witness








Inventor(s)

  
Ravi Bhat

  
John Sipe

  
Henry Van Driel