

06-20-02

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06-28-2002



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Applicant: ARUN MAJUMDAR; ALI SHAKOURI; TIMOTHY D. SANDS; PEIDONG YANG; SAMUEL S. MAO; RICHARD E. RUSSO; HENNING FEICK; HANNES KIND; EICKE R. WEBER; MICHAEL HUANG; HAOQUAN YAN; YIYING WU; RONG FAN
Serial No.: 10/112,578
Filed: MARCH 29, 2002
Title: METHODS OF FABRICATING NANOSTRUCTURES AND NANOWIRES AND DEVICES FABRICATED THEREFROM
Group:
Examiner:

6-18-02

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: ARUN MAJUMDAR
Name 2: ALI SHAKOURI
Name 3: TIMOTHY D. SANDS
Name 4: PEIDONG YANG
Name 5: SAMUEL S. MAO
Name 6: RICHARD E. RUSSO
Name 7: HENNING FEICK
Name 8: HANNES KIND
Name 9: EICKE R. WEBER
Name 10: MICHAEL HUANG
Name 11: HAOQUAN YAN
Name 12: YIYING WU
Name 13: RONG FAN

06/27/2002 LMUELLER 00000123 10112578

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40.00 00

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, 12TH 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

4. **IDENTIFICATION OF PATENT OR APPLICATION**

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

Inventor(s): ARUN MAJUMDAR; ALI SHAKOURI; TIMOTHY D. SANDS; PEIDONG YANG;
SAMUEL S. MAO; RICHARD E. RUSSO; HENNING FEICK; HANNES KIND;
EICKE R. WEBER; MICHAEL HUANG; HAOQUAN YAN; YIYING WU; RONG
FAN

For (title): METHODS OF FABRICATING NANOSTRUCTURES AND NANOWIRES AND
DEVICES FABRICATED THEREFROM

- (a) ☐ U.S. patent application filed herewith.
(b) ☒ U.S. patent application serial no. 10/112,578 filed on MARCH 29, 2002.
(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: May 18, 2002.

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

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

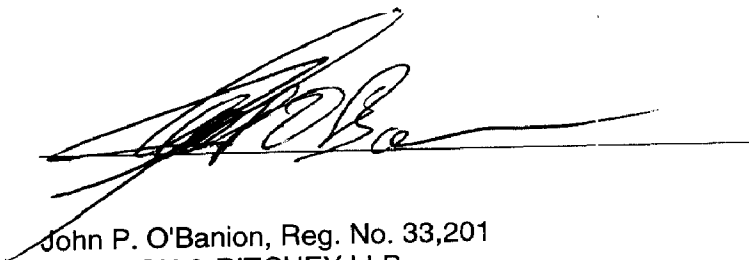
☐ Charge Account No. _____ in the sum of _____ A duplicate of this transmittal is attached.

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: June 18, 2002.



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

ASSIGNMENT

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

Name: ARUN MAJUMDAR
Address: 151 ARDITH DRIVE
ORINDA, CA94563

Nationality: UNITED STATES

Name: ALI SHAKOURI
Address: 246 DICKENS WAY
SANTA CRUZ, CA 95064

Nationality: IRAN

Name: TIMOTHY D. SANDS
Address: 1712 DEL MONTE WAY
MORAGA, CA 94556

Nationality: UNITED STATES

Name: PEIDONG YANG
Address: 2151 CALIFORNIA STREET
BERKELEY, CA 94703

Nationality: CHINA (PRC)

Name: SAMUEL S. MAO
Address: 7325 LAMAR LOOP
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Nationality: CHINA (PRC)

Name: RICHARD E. RUSSO
Address: 123 CROSBY COURT, #3
WALNUT CREEK, CA 94598

Nationality: UNITED STATES

Name: HENNING FEICK
Address: 37 KERR AVENUE
KENSINGTON, CA 94707

Nationality: GERMANY

Name: EICKE R. WEBER
Address: 6995 ELVERTON DRIVE
OAKLAND, CA 94611

Nationality: UNITED STATES

Name: HANNES KIND
Address: STEIGSTRASSE 94
CH-8200 SCHAFFHAUSEN
SWITZERLAND

Nationality: SWITZERLAND

Name: MICHAEL HUANG
Address: 11120 QUEENSLAND STREET, #H53
LOS ANGELES, CA 90034

Nationality: UNITED STATES

Name: HAOQUAN YAN
Address: 257 WILSON STREET, BUILDING #79
ALBANY, CA 94710

Nationality: CHINA (PRC)

Name: YIYING WU
Address: 257 WILSON STREET
ALBANY, CA 94710

Nationality: CHINA (PRC)

Name: RONG FAN
Address: 5550 CENTRAL AVENUE, #7
EL CERRITO, CA 94850

Nationality: CHINA (PRC)

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE:

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, A CALIFORNIA CORPORATION, 1111 FRANKLIN STREET, 12th Floor, OAKLAND, CA 94607-5200,

and the successors, assigns and legal representatives of the ASSIGNEE, the entire right, title and interest for the United States and its territorial possessions and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled:

METHODS OF FABRICATING NANOSTRUCTURES AND NANOWIRES AND DEVICES FABRICATED THEREFROM

and which is found in

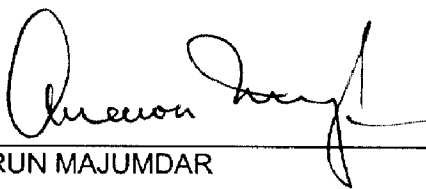
- (a) ☐ U.S. provisional patent application filed herewith and listing the above named person(s) as inventor(s).
- (b) ☐ U.S. patent application filed herewith listing the above named person(s) as inventor(s).
- (c) ☒ U.S. patent application serial no. 10/112,578, filed on MARCH 29, 2002.
- (d) ☐ U.S. 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 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 covenant(s) 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 covenant(s) 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 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 ASSIGNOR(S) request(s) 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.

Date: <u>4/11/02</u>	Inventor: <u></u> ARUN MAJUMDAR
Date: _____	Inventor: _____ ALI SHAKOURI
Date: _____	Inventor: _____ TIMOTHY D. SANDS
Date: _____	Inventor: _____ PEIDONG YANG
Date: _____	Inventor: _____ SAMUEL S. MAO
Date: _____	Inventor: _____ RICHARD E. RUSSO
Date: _____	Inventor: _____ HENNING FEICK
Date: _____	Inventor: _____ HANNES KIND

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;

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Date: _____ Inventor: _____
ARUN MAJUMDAR

Date: 4/20/2002 Inventor: Ali Shakouri
ALI SHAKOURI

Date: _____ Inventor: _____
TIMOTHY D. SANDS

Date: _____ Inventor: _____
PEIDONG YANG

Date: _____ Inventor: _____
SAMUEL S. MAO

Date: _____ Inventor: _____
RICHARD E. RUSSO

Date: _____ Inventor: _____
HENNING FEICK

Date: _____ Inventor: _____
HANNES KIND

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Date: _____ Inventor: _____
ARUN MAJUMDAR

Date: _____ Inventor: _____
ALI SHAKOURI

Date: 5/20/2002 Inventor: 
TIMOTHY D. SANDS

Date: _____ Inventor: _____
PEIDONG YANG

Date: _____ Inventor: _____
SAMUEL S. MAO

Date: _____ Inventor: _____
RICHARD E. RUSSO

Date: _____ Inventor: _____
HENNING FEICK

Date: _____ Inventor: _____
HANNES KIND

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Date: _____ Inventor: _____
ARUN MAJUMDAR

Date: _____ Inventor: _____
ALI SHAKOURI

Date: _____ Inventor: _____
TIMOTHY D. SANDS

Date: 04/12/02 Inventor: 
PEIDONG YANG

Date: _____ Inventor: _____
SAMUEL S. MAO

Date: _____ Inventor: _____
RICHARD E. RUSSO

Date: _____ Inventor: _____
HENNING FEICK

Date: _____ Inventor: _____
HANNES KIND

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ARUN MAJUMDAR

Date: _____ Inventor: _____
ALI SHAKOURI

Date: _____ Inventor: _____
TIMOTHY D. SANDS

Date: _____ Inventor: _____
PEIDONG YANG

Date: 05/09/2002 Inventor: 
SAMUEL S. MAO

Date: _____ Inventor: _____
RICHARD E. RUSSO

Date: _____ Inventor: _____
HENNING FEICK

Date: _____ Inventor: _____
HANNES KIND

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Date: _____ Inventor: _____
ARUN MAJUMDAR

Date: _____ Inventor: _____
ALI SHAKOURI

Date: _____ Inventor: _____
TIMOTHY D. SANDS

Date: _____ Inventor: _____
PEIDONG YANG

Date: _____ Inventor: _____
SAMUEL S. MAO

Date: 4/23/02 Inventor: 
RICHARD E. RUSSO

Date: _____ Inventor: _____
HENNING FEICK

Date: _____ Inventor: _____
HANNES KIND

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ARUN MAJUMDAR

Date: _____ Inventor: _____
ALI SHAKOURI

Date: _____ Inventor: _____
TIMOTHY D. SANDS

Date: _____ Inventor: _____
PEIDONG YANG

Date: _____ Inventor: _____
SAMUEL S. MAO

Date: _____ Inventor: _____
RICHARD E. RUSSO

Date: 4/11/2002 Inventor: Henning Feick
HENNING FEICK

Date: _____ Inventor: _____
HANNES KIND

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Date: _____	Inventor: _____ ARUN MAJUMDAR
Date: _____	Inventor: _____ ALI SHAKOURI
Date: _____	Inventor: _____ TIMOTHY D. SANDS
Date: _____	Inventor: _____ PEIDONG YANG
Date: _____	Inventor: _____ SAMUEL S. MAO
Date: _____	Inventor: _____ RICHARD E. RUSSO
Date: _____	Inventor: _____ HENNING FEICK
Date: <u>4-12-02</u>	Inventor: <u>H. Kind</u> HANNES KIND

Date: 5/18/2002

Inventor:

Eicke R. Weber
EICKE R. WEBER

Date: _____

Inventor:

MICHAEL HUANG

Date: _____

Inventor:

HAOQUAN YAN

Date: _____

Inventor:

YIYING WU

Date: _____

Inventor:

RONG FAN

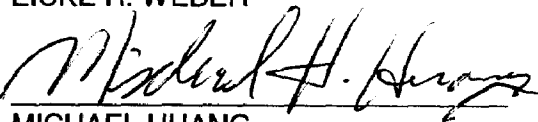
Date: _____

Inventor: _____

EICKE R. WEBER

Date: 4/14/02

Inventor: _____


MICHAEL HUANG

Date: _____

Inventor: _____

HAOQUAN YAN

Date: _____

Inventor: _____

YIYING WU

Date: _____

Inventor: _____

RONG FAN

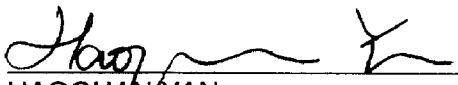
Date: _____

Inventor: _____
EICKE R. WEBER

Date: _____

Inventor: _____
MICHAEL HUANG

Date: 05/10/02

Inventor: 
HAOQUAN YAN

Date: _____

Inventor: _____
YIYING WU

Date: _____

Inventor: _____
RONG FAN

Date: _____

Inventor: _____
EICKE R. WEBER

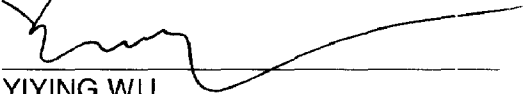
Date: _____

Inventor: _____
MICHAEL HUANG

Date: _____

Inventor: _____
HAOQUAN YAN

Date: 5/18/02

Inventor: 
YIYING WU

Date: _____

Inventor: _____
RONG FAN

Date: _____

Inventor: _____
EICKE R. WEBER

Date: _____

Inventor: _____
MICHAEL HUANG

Date: _____

Inventor: _____
HAOQUAN YAN

Date: _____

Inventor: _____
YIYING WU

Date: 5/9/02

Inventor: 
RONG FAN

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)Applicant(s): **ARUN MAJUMDAR ET AL.**

Docket No.

UC01-190-3US

Serial No.

10/112,578

Filing Date

MARCH 29, 2002

Examiner

Group Art Unit

Invention:

**METHODS OF FABRICATING NANOSTRUCTURES AND NANOWIRES AND DEVICES
FABRICATED THEREFROM****JUN 18 2002**

I hereby certify that the following correspondence:

Assignment Cover Letter and Assignment (Page 1 thru 18)*(Identify type of correspondence)*

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on

June 18, 2002*(Date)***Jerry V. King***(Typed or Printed Name of Person Mailing Correspondence)*
*(Signature of Person Mailing Correspondence)***EL508300251US***("Express Mail" Mailing Label Number)***Note: Each paper must have its own certificate of mailing.**

P06A/REV02

RECORDED: 06/18/2002**PATENT
REEL: 013026 FRAME: 0399**