



07-15-2002



B/O FORM PTO 1595 (1/31/92)

U.S. Department of Commerce  
Patent and Trademark Office

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PATENTS ONLY

DOCKET NO.: UNME-0037-1

To Director of U.S. Patent and Trademark Office. Please record the attached original documents or copy thereof.

1. Name of Conveying Party(ies):

Ravinder K. JAIN, Balaji SRINIVASAN, and Erik POPPE

☐ Additional names of conveying parties attached

2. Name and Address of Receiving Party(ies):

Name: University of New Mexico

Internal Address: Patent Administration Office

Street Address: Hokona Hall, Zuni Wing  
Room 357

City, State, Zip: Albuquerque, New Mexico 87131

☐ Additional name(s) and address(es) attached.

3. Nature of Conveyance:

☒ Assignment☐ Change of Name☐ Other:

Execution Date: Jain - August 17, 1998

Srinivasan - July 7, 1998

Pope - August 21, 1998

4. (a) Patent Application Number(s):

09/302,839

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

4. (b) Patent Numbers:

☐ Additional Numbers Attached.

5. Name and Address of Party to whom Correspondence Concerning this Document Should be Mailed:

Name: Steven J. Prewitt

Address: JAGTIANI + GUTTAG  
10379-B Democracy Lane  
Fairfax, Virginia 22030

6. Total Number of Applications and Patents Involved: 1

7. Total Fee: \$40.00  
(37 C.F.R. § 3.41)☒ Authorized to be charged to deposit account.

8. Deposit Account Number:

10-0233-UNME-0037-1

ATTACH DUPLICATE COPY OF THIS PAGE IF PAYING BY DEPOSIT ACCOUNT

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9. Statement and Signature:

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.

July 8, 2002

Steven J. Prewitt, Registration Number 45,023

07/12/2002 DBYRME 00000039 100233 09302839

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Total number of pages comprising cover sheet: 1

PATENT  
REEL: 013071 FRAME: 0166

## JOINT ASSIGNMENT

JOINT ASSIGNMENT from Ravinder K. Jain and Balaji Srinivasan whose addresses are set forth on the signature page hereof (the "Inventors"), to the University of New Mexico, a corporation of the State of New Mexico, whose address is c/o Patent Administration Office, Hokona Hall, Zuni Wing, Rm. 357, Albuquerque, New Mexico 87131 (the "University").

WHEREAS, the Inventors, who were at all pertinent times employees of the University, have made the following invention for which a provisional application was filed in the United States Patent and Trademark Office at the expense of the University:

<u>U.S. Provisional App. Serial No.</u>	<u>Date Filed</u>	<u>Title</u>
60/083,772	5/1/98	Method for Enhancing Efficiency of Lasing at 2.7 $\mu$ m in Erbium:ZBLAN Fiber Lasers and Amplifiers
09/302,839	04/30/99	Highly Doped Fiber Lasers and Amplifiers

WHEREAS, the University is legally entitled to and desires to obtain a formal assignment from the Inventors of their entire right, title, and interest in and to the above invention and related intellectual property rights as described below as well as to all patents, patent applications, divisions, reissues, continuations, substitutions, renewals, extensions thereof, and all improvements hereafter made or invented by Inventors at any time during their employment by University including the right to bring lawsuits for past infringement of any patents that may be issued thereon, in the United States and all foreign countries;

NOW, THEREFORE, the Inventors do hereby sell, assign, and transfer unto the University all their right, title, and interest in and to the above invention, together with any technical information, know-how, trade secret, process, procedure, composition, device, methods, formula, protocol, technique, software, design, drawing or data relating to the above invention which is not covered by the patent application described above but which is necessary at any time for practicing the above invention (all of the foregoing being collectively referred to hereafter as the "Invention") and their entire right, title, and interest in and to any and all patents, patent applications, divisions, reissues, continuations, continuations-in-part, substitutions, renewals, extensions thereof, and all improvements hereafter made or invented by Inventors at any time during their employment by University including the right to bring lawsuits for past infringement of any patents that may be issued thereon, in the United States and in any and all foreign countries.

The parties further acknowledge and agree that all income resulting from commercialization of the Invention, after deduction for certain expenses in accordance with the University's policies, shall be divided forty percent (40%) to the Inventor(s), forty percent (40%) to the Science & Technology Corporation @ UNM, and twenty percent (20%) to the University to be disbursed in accordance with the University's policies.

Further, the Inventors agree that they will communicate to the University any facts known to them respecting said Invention, will testify in any legal proceedings, will sign all lawful papers, will execute all divisions, reissues, continuations, substitutions, renewals, extensions, and improvements made during Inventors employment by University, will execute all necessary assignment documents, will cause any and all of said patents to be issued to the University, and generally will do everything necessary or desirable to aid the University, its officers, agents, employees, directors, attorneys, successors, assigns, and those in active concert and/or participating with them to obtain

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and enforce property protection in regard to the above-described Invention, patents, patent applications, divisions, reissues, continuations, continuations-in-part, substitutions, renewals, extensions and all improvements hereafter made or invented by Inventors at any time during their employment by University thereof in the United States and in all foreign countries.

The Inventors hereby authorize and request the Patent and Trademark Office officials to issue the aforesaid patent or patents, when granted, to the University for the use and enjoyment of the University, its officers, agents, employees, directors, attorneys, successors, assigns and those in active concert and/or participating with them.

The Inventors represent and agree that no assignment, sale agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

The undersigned Inventors hereby acknowledge by their signatures hereto that they have read the foregoing and understand its contents and have had the opportunity to consult legal counsel of their choosing concerning their rights and obligations hereunder prior to their signatures hereto.

8/17/98  
Date

Ravinder K. Jain  
Assignor: Ravinder K. Jain  
Address:

}  
}  
ss.

The foregoing instrument was subscribed and acknowledged before me, this

17th day of August, 1998 by Ravinder K. Jain

[Signature]  
Notary Public

My Commission Expires:

June 29, 2000

Seal:



Date 7/7/98

Balaji  
Assignor: Balaji Srinivasan  
Address: 120 Cornell SE #301  
Albuquerque, New Mexico 87106

STATE OF NEW MEXICO        )  
                                      )  
COUNTY OF BERNALILLO    ) ss.

The foregoing instrument was subscribed and acknowledged before me, this

7th day of July, 1998 by Balaji Srinivasan

C. J. Amm  
Notary Public

My Commission Expires:

Seal:

6/29/2000

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# SINGLE ASSIGNMENT

UNM-504

SINGLE ASSIGNMENT from Erik Poppe whose address is set forth on the signature page hereof (the "Inventor"), to the University of New Mexico, a corporation of the State of New Mexico, whose address is c/o Patent Administration Office, Hokona Hall, Zuni Wing, Rm. 357, Albuquerque, New Mexico 87131 (the "University").

WHEREAS, the Inventor, who was employed by Norwegian University of Science and Technology ("NUST"), has made the following invention for which a provisional application was filed in the United States Patent and Trademark Office at the expense of the University:

<u>U.S. Provisional App. Serial No.</u>	<u>Date Filed</u>	<u>Title</u>
60/083,772	5/1/98	Method for Enhancing Efficiency of Lasing at 2.7 $\mu$ m in Erbium: ZBLAN Fiber Lasers and Amplifiers
09/302,839	04/30/99	Highly Doped Fiber Lasers and Amplifiers

WHEREAS, the NUST waived its rights in the invention infavor of Inventor and Inventor desires to assign all his right, title and interest to the University in exchange for a share of any royalties as provided below;

WHEREAS, the University desires to obtain a formal assignment from the Inventor of his entire right, title, and interest in and to the above invention and related intellectual property rights as described below as well as to all patents, patent applications, divisions, reissues, continuations, continuations-in-part, substitutions, renewals, extensions thereof including the right to bring lawsuits for past infringement of any patents that may be issued thereon, in the United States and all foreign countries;

NOW, THEREFORE, the Inventor does hereby sell, assign, and transfer unto the University all his entire right, title, and interest in and to the above invention, together with any technical information, know-how, trade secret, process, procedure, composition, device, methods, formula, protocol, technique, software, design, drawing or data relating to the above invention which is not covered by the patent application described above but which is necessary at any time for practicing the above invention (all of the foregoing being collectively referred to hereafter as the "Invention") and his entire right, title, and interest in and to any and all patents, patent applications, divisions, reissues, continuations, continuations-in-part, substitutions, renewals, extensions thereof including the right to bring lawsuits for past infringement of any patents that may be issued thereon, in the United States and in any and all foreign countries.

The parties further acknowledge and agree that all royalties resulting from commercialization of the Invention, after deduction for certain expenses in accordance with the University's policies, shall be divided forty percent (40%) to the Inventor, forty percent (40%) to the Science & Technology Corporation @ UNM, and twenty percent (20%) to the University to be disbursed in accordance with the University's policies.

Further, the Inventor agrees that he will communicate to the University any facts known to him respecting said Invention, will testify in any legal proceedings, will sign all lawful papers, will execute all divisions, reissues, continuations, continuations-in-part, substitutions, renewals, and extensions made during Inventor's collaboration with the University, will execute all necessary assignment documents, will cause any and all of said patents to be issued to the University, and generally will do everything necessary or desirable to aid the University, its officers, agents, employees, directors, attorneys, successors, assigns, and those in active concert and/or participating with them to obtain and enforce property protection in regard to the above-described Invention, patents,

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PATENT

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patent applications, divisions, reissues, continuations, continuations-in-part, substitutions, renewals, and extensions thereof in the United States and in all foreign countries.

The Inventor hereby authorizes and requests the Patent and Trademark Office officials to issue the aforesaid patent or patents, when granted, to the University for the use and enjoyment of the University, its officers, agents, employees, directors, attorneys, successors, assigns and those in active concert and/or participating with them.

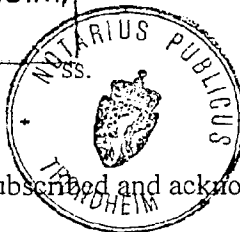
The Inventor represents and agrees that no assignment, sale agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

The undersigned Inventor hereby acknowledges by his signature hereto that he has read the foregoing and understands its content and has had the opportunity to consult legal counsel of his choosing concerning his rights and obligations hereunder prior to his signature hereto.

8/21/98  
Date

Erik Poppe  
Assignor: Erik Poppe  
Address:

On this 21 day of August 1998  
appeared before me, ERIK POPPE  
to me known and known to me, and  
signed this document Randi Østeraas  
Randi Østeraas Notary Public to the town of Trondheim,  
Norway.



The foregoing instrument was subscribed and acknowledged before me, this

\_\_\_\_\_ day of \_\_\_\_\_, 1998 by \_\_\_\_\_

\_\_\_\_\_  
Notary Public

My Commission Expires:

Seal:

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