



07-22-2002



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DOCKET NO.: UNME-0059-1

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

1. Name of Conveying Party(ies):

**Balaji SRINIVASAN, Ravinder K. JAIN, and
Jason D. TAFOYA**☐ Additional names of conveying parties attached

07/10/02

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, NM 87131**☐ Additional name(s) and address(es) attached.

3. Nature of Conveyance:

☒ Assignment ☐ Change of Name
☐ Other:Execution Date: **Srinivasan - June 24, 2002**
Jain - June 19, 2002
Tafoya - July 1, 2002

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

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

4. (b) Patent Numbers:

6,360,040 B1 issued 03/19/02☐ 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-0059-1

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.

Steven J. Prewitt, Registration Number 45,023

July 10, 2002

Total number of pages comprising cover sheet: 1

INVENTOR ASSIGNMENT TO UNM

ASSIGNMENT from Balaji Srinivasan, Ravinder K. Jain and Jason David Tafoya whose addresses are set forth on the signature page hereof (the "Inventors"), to the University of New Mexico, an educational institution 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, while employed by the University, conceived and/or reduced to practice one or more inventions which are described both in the disclosure described below and in other materials associated with the disclosure, including materials prepared after the date of this Assignment. The disclosure is identified as:

<u>UNM Docket No.</u>	<u>Title</u>
UNM-532	Method for Efficient Coupling of Laser Beams Into Waveguides

(both the disclosure and the associated materials are collectively referred to herein as the "Invention Disclosure");

WHEREAS, one or more patent application(s) either have been or may be filed in the future in the United States Patent and Trademark Office and other patent offices covering the invention or inventions described in the Invention Disclosure (collectively, the "Patent Application(s)"). Any such patent application(s) filed as of the date hereof are described below:

<u>Patent App.</u>	<u>Serial No.</u>	<u>Country</u>	<u>Date of Filing</u>	<u>Title</u>
now U.S. Patent No. 6,360,040 B1	09/576,797 ,	USA	05/23/00 , Issued 03/19/02	METHOD FOR COUPLING OF LASER BEAMS INTO WAVEGUIDES

WHEREAS, the University is legally entitled to obtain a formal assignment from the Inventors of their entire right, title, and interest in and to invention(s) and related technology created by Inventors during their employ by the University.

NOW, THEREFORE, the Inventors do hereby assign and transfer unto the University all their right, title, and interest in and to: (a) the invention(s) described in the Invention Disclosure and/or Patent Application(s); (b) any technical information, know-how, trade secret, process, procedure, composition, biological materials, device, method, formula, protocol, technique, software, design, tradename, trademark, copyright, copyrightable material, drawing or data which is related to the aforesaid invention(s) and/or that is included in the Invention Disclosure, whether or not covered by the Patent Application(s); (c) the Patent Application(s) including but not limited to all divisions, reissues, continuations, continuations-in-part, continuing patent applications, substitutions, renewals, extensions filed and all patent(s) issuing thereon in the United States and all foreign countries; (d) all improvements to the invention(s) described in the Invention Disclosure and/or Patent Application(s) hereafter made or invented by any of the Inventors during their employment with the University (all of the foregoing, (a), (b), (c), and (d) being collectively referred to hereafter as the "Invention"); and (e) the right to assert claims and bring lawsuits for any violation or infringement of any of the intellectual property rights assigned hereby, including all patents issuing on the Patent Application(s).

THE INVENTORS FURTHER ACKNOWLEDGE AND AGREE AS FOLLOWS:

1. In accordance with the University's policies and practices, all net revenues from the Invention (all income received by the University, or its assignee, from commercialization of the Invention, not including payments for research, development or reimbursement of certain costs), shall be divided as follows: forty percent (40%) equally to the Inventors (unless the Inventors have otherwise agreed in writing and so notified the University), forty percent (40%) to the Science & Technology Corporation @ UNM, and twenty percent (20%) to the University.
2. For the purpose of enabling the University, its successors and assigns, to obtain, defend and enforce all United States and foreign intellectual property rights in the Invention, the Inventors shall timely communicate all information, execute all documents, testify in all legal proceedings and take all such other actions necessary or desirable to accomplish such purpose.
3. The Inventors authorize the attorneys of record for the Patent Application(s) to insert in this Assignment where indicated above, or in an Addendum to be attached hereto, the filing date, country where filed, title and serial number of such Patent Application(s) filed hereafter as they become officially known.
4. The Inventors authorize and request all domestic and foreign patent office officials to issue all patents, when granted, to the University, its successors and assigns.
5. The Inventors warrant and represent that no assignment, sale, agreement or encumbrance has been or will be made or entered into by them which would conflict with this Assignment.
6. If there shall only be one Inventor, all references herein to Inventors shall be deemed to refer to said Inventor. If there shall be more than one Inventor, this Assignment may be signed in multiple counterparts and all such counterparts shall be deemed to constitute a single instrument.
7. THE UNDERSIGNED INVENTORS ACKNOWLEDGE BY THEIR RESPECTIVE SIGNATURES HERETO THAT THEY HAVE READ THE FOREGOING, UNDERSTAND ITS CONTENTS AND HAVE HAD THE OPPORTUNITY TO CONSULT LEGAL COUNSEL OF THEIR CHOOSING CONCERNING THEIR RIGHTS AND OBLIGATIONS HEREUNDER.

Balaji
Assignor: **Balaji Srinivasan**
Address:

6/24/02
Date

STATE OF New York
COUNTY OF Steuben

ss.

The foregoing instrument was subscribed and acknowledged before me, this
24th day of May, 2002, by Balaji Srinivasan.
June

Carol A. Stone
Notary Public

My Commission Expires:
8/8/02

Seal:

Carol A. Stone, Reg. No. 016T5031830
Notary Public, State of New York
Qualified in Steuben County
Commission Expires Aug. 8, 192002

Ravinder K Jain

June 19, '02

Assignor: **Ravinder K. Jain**

Address:

Ravinder K Jain

Date

June 19, '02

STATE OF NEW MEXICO)

ss.

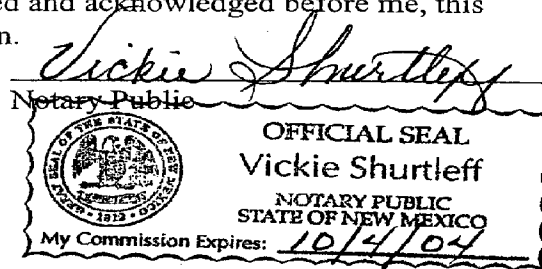
COUNTY OF BERNALILLO)

19th The foregoing instrument was subscribed and acknowledged before me, this
day of ~~May~~ *June*, 2002, by Ravinder K. Jain.

My Commission Expires:

10/4/04

Seal:



Assignor: **Jason David Tafoya**

Date

Address:

STATE OF NEW MEXICO)

ss.

COUNTY OF BERNALILLO)

The foregoing instrument was subscribed and acknowledged before me, this
day of May, 2002, by Jason David Tafoya.

My Commission Expires:

Notary Public

Seal:

Assignor: Ravinder K. Jain
Address:

Date

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

The foregoing instrument was subscribed and acknowledged before me, this
day of May, 2002, by Ravinder K. Jain.

Notary Public

My Commission Expires:

Seal:

Assignor: Jason David Tafoya
Address: 6601 Tennyson St. NE #12317
Albuquerque NM 87110

Date

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

The foregoing instrument was subscribed and acknowledged before me, his
1st day of July, 2002, by Jason David Tafoya.

Notary Public

My Commission Expires:

Seal:



OFFICIAL SEAL
DENISE B. ROMERO
NOTARY PUBLIC-STATE OF NEW MEXICO

My commission expires: 8/21/06