

01-31-2003

SD-7184/S-98799

January 13, 2002

FORM PTO-95

RECORDED



U.S. DEPARTMENT OF COMMERCE

Rev. 6-93) OMB No 0651-0011 EXP. 4/94)

Patent and Trademark Office

102353317

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

1-28-03

1. Name of conveying party(ies):

2. Name and address of receiving party(ies)

Shawn-Yu Lin,
James G. Fleming, and
James A. Bur

SANDIA CORPORATION
P. O. Box 5800 - MS-0161
Albuquerque, New Mexico 87185-0161

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

3. Nature of conveyance:

☒ Assignment☐ Merger

M

☐ Security Agreement ☐ Change of Name☐ Other: Assignment & Confirmatory License

Execution Date(s): 11/14/02, 11/18/02, 11/22/02

Additional name(s) & address(es) attached? ☐ Yes ☒ No

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

A. Patent Application No.(s)

B. Patent No.(s)

10/301,891

Filed: 11/22/02

Issued:

Additional numbers attached? ☐ Yes ☒ No

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

6. Total number of applications and patents involved: one (1)Name: Sandia National Laboratories7. Total fee (37 CFR 3.41) \$40.00Internal Address: Patent & Licensing, 11500☐ EnclosedMail Stop 0161☒ Authorized to be charged to deposit accountStreet Address: P. O. Box 58008. Deposit Account number: 19-0131City: Albuquerque State: NM ZIP: 87185-0161

(Attach duplicate copy of this page if paying by account)

01/31/2003 TBIAZ1 00000017 190131 10301891

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01/FC:0021 40.00 CH

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.

Russell D. Elliott
Chief IP Counsel

Signature

Date

1/20/03

Total number of pages including cover sheet, attachments, and document: 3

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

PATENT
REEL: 013702 FRAME: 0524

ASSIGNMENT

WHEREAS, **Shawn-Yu Lin, James G. Fleming, and James A. Bur**, of Albuquerque, New Mexico, have made an invention relating to **Photonic Crystal Light Source**, in the course of the work authorized by Contract DE-AC04-94AL85000 between SANDIA CORPORATION and the UNITED STATES DEPARTMENT OF ENERGY, said invention being disclosed and claimed in an application for United States patent, identified as DOE Docket No: S-98799, duly executed by said inventors and

WHEREAS Inventor(s), in consideration of employment by Sandia Corporation, has(have) agreed, among other things, to assign to Sandia Corporation, its successors and assigns, all rights to inventions, discoveries, or improvements made or conceived in the course of their employment; and

WHEREAS, James A. Bur, being Inventor of said invention and employee of L & M Technologies, Incorporated (hereafter L & M) at the time said invention was made, the Parties signing below, in consideration of *pro rata* share to be taken from twenty percent (20%) of royalties obtained by Sandia Corporation in any future licensing of said invention and to be paid pro rata share further being limited to a maximum of \$100,000 annually per L & M Inventor, have agreed, among other things, to assign to Sandia Corporation its successors and assigns, their entire right, title, and interest, if any, in and to said invention and in and to all resulting patents, wherever they may be granted, as well as reissues or extensions of said patents.

The above-names L & M Inventor further agrees, at the request of Sandia Corporation, to make, execute and deliver to Sandia Corporation, the Government, or other party prosecuting patent applications on this invention, any and all papers, documents, affidavits, applications, statements or other instruments relating to said invention, take all rightful oaths and do all acts as may reasonably be required of them in or incident to the prosecution of any or all applications on said invention or in the adjustment or settlement of any interferences or other actions or proceedings that said applications or patents thereon may encounter or in which they may be involved.

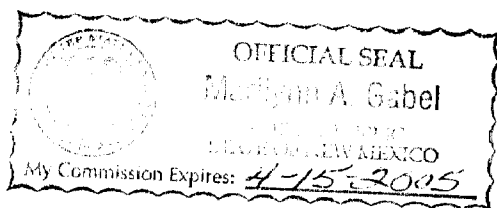
Signed at Albuquerque, New Mexico.

James A. Bur
James A. Bur

Date: 11/22/02

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

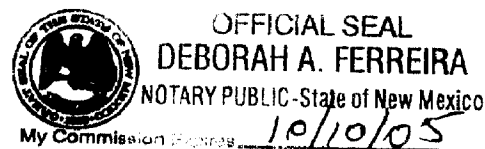
On the the dates listed above, personally appeared before me, Marilyn A. Gabel, Notary Public, **James A. Bur**, to me known to be the individuals described in and who executed the foregoing instrument, and who acknowledged to me that they executed the same.



Marilyn A. Gabel
Notary Public

Approved and consented to this 27 day of November, 2002.

[Signature]
L & M TECHNOLOGIES, INC.



Deborah A. Ferreira
NOTARY PUBLIC

Approved and consented to this 10th day of December, 2002.

SANDIA CORPORATION

[Signature]
Russell D. Elliott
SANDIA CORPORATION
Chief IP Counsel, Patent and Licensing Office, MS-0161

ASSIGNMENT

WHEREAS, **Shawn-Yu Lin, James G. Fleming, and James A. Bur**, of Albuquerque, New Mexico, have made an invention relating to **Photonic Crystal Light Source**, in the course of the work authorized by Contract DE-AC04-94AL85000 between SANDIA CORPORATION and the UNITED STATES DEPARTMENT OF ENERGY, said invention being disclosed and claimed in an application for United States patent, identified as DOE Docket No: S-98799, duly executed by said inventors and

WHEREAS Inventor(s), in consideration of employment by Sandia Corporation, has(have) agreed, among other things, to assign to Sandia Corporation, its successors and assigns, all rights to inventions, discoveries, or improvements made or conceived in the course of their employment; and

WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy has granted a waiver of Government rights in the above-identified invention to Sandia Corporation under Class Waiver W(C)93-012, effective October 1, 1993, and

THEREFORE, Inventor(s) hereby sells, assigns, and transfers unto Sandia Corporation their entire right, title, and interest in and to said invention and in and to all resulting patents, wherever they may be granted, as well as reissues or extensions of said patents.

Inventor(s) covenants with Sandia Corporation that, except for the rights, if any, of the Government, his/her interest in the rights and property herein conveyed is free and clear of any encumbrance and that they have full right to convey the same as herein expressed. They agree, at the request of Sandia corporation, to make, execute, and deliver to Sandia Corporation, the Government, or other party prosecuting patent applications on this invention, any and all papers, documents, affidavits, applications, statements or other instruments relating to said invention, take all rightful oaths and do all acts as may reasonably be required of them in or incident to the prosecution of any or all applications on said invention or in the adjustment or settlement of any interferences or other actions or proceedings that said applications or patents thereon may encounter or in which they may become involved.

Signed at Albuquerque, New Mexico.

James G. Fleming
James G. Fleming

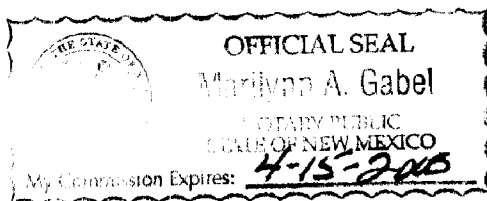
Date: 11/18/2002

Shawn-Yu Lin
Shawn-Yu Lin

Date: 11/14/2002

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

On the the dates listed above, personally appeared before me, Marilynn A. Gabel, Notary Public, **James G. Fleming, Shawn-Yu Lin**, to me known to be the individuals described in and who executed the foregoing instrument, and who acknowledged to me that they executed the same.



Marilynn A. Gabel
Notary Public

Approved and consented to this 10th day of DECEMBER, 2002.

SANDIA CORPORATION

Russell D. Elliott
Russell D. Elliott,
Chief IP Counsel