

Attorney Docket No. 020204-001300US

Form PTO-1595

(Rev. 03-01)
OMB No. 0651-0027 (exp. 5/31/2005)

Record

11-25-02P

07-14-2003



U.S. Department of Commerce
U.S. Patent and Trademark Office

Tab settings ⇌ ⇌ ⇌

To the Honorable Commissioner of Patents and

Documents or copy thereof

1. Name of conveying party(ies):
Rio Grande Medical Technologies, Inc.

Additional name(s) of conveying parties attached? Yes No.

3. Nature of conveyance:

Assignment Merger
 Security Agreement Change of Name
 Other: _____

Execution Date: October 16, 2002 and October 17, 2002

102495364
Name and address of receiving party(ies)

Name: Lumidigm, Inc.

Internal Address: 800 Bradbury S.E., Suite 213

Street Address: 800 Bradbury S.E., Suite 213

City: Albuquerque State: NM ZIP: 87106

Additional names and addresses attached? Yes No

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: RECEIVED

A. Patent Application No(s):
09/415,594
09/832,534
09/874,740

B. Patent No(s):
NOV 27 2002
Technology Center 2600

Additional numbers attached? Yes No

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

Name: Patrick M. Boucher
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(303) 571-4000

6. Total number of applications and patents involved 3

7. Total fee (37 CFR 3.41): -----\$120.00

Enclosed
 Authorized to be charged to deposit account

8. Deposit account number: 20-1430

(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 is true and correct and any attached copy is a true of copy of the original document.

Patrick M. Boucher
Name of Person Signing
Atty. Reg. No. 44,037

Patrick M. Boucher
Signature

November 14, 2002
Date

Total number of pages including cover sheet, attachments and document
Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

PATENT
REEL: 014247 FRAME: 0893

NOV 27 2002

ASSIGNMENT

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WHEREAS, Rio Grande Medical Technologies, Inc., a New Mexico corporation with its

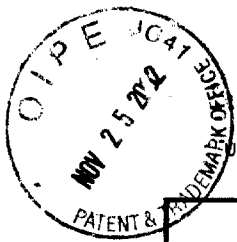
principal offices located at 800 Bradbury S.E., Suite 218, Albuquerque, New Mexico 87106,

U.S.A., owns all rights, title and interest in the following Biometric Patent Properties:

<u>U.S. Serial No.</u>	<u>Filing Date</u>	<u>Title of Application</u>
09/415,594	October 8, 1999	Apparatus and Method for Identification of Individuals by Near-Infrared Spectrum
09/832,534	April 11, 2001	Apparatus and Method of Biometric Identification or Verification of Individuals Using Optical Spectroscopy
09/874,740	June 5, 2001	Apparatus and Method of Biometric Determination Using Specialized Optical Spectroscopy Systems

WHEREAS, Lumidigm, Inc., a Delaware corporation with its principal offices located at 800 Bradbury S.E., Suite 213, Albuquerque, New Mexico 87106, U.S.A.;

NOW, THEREFORE, to all whom it may concern, be it known that pursuant to the parties' prior agreement, Rio Grande Medical Technologies, Inc., has assigned and transferred, subject to certain reservations expressed in the prior agreement, the entire right, title and interest in the Biometric Patent Properties disclosed above, Lumidigm CIP's as defined in the prior agreement and divisional applications thereof, and foreign counterparts that correspond to such applications, and the patents that issue from such applications, including but not limited to letters patent and utility models, including any extension, substitution, registration, confirmation, reissue, re-examination or renewal thereof, and the foreign counterparts that correspond to such patents to the extent valid and enforceable rights are granted by a governmental authority thereunder.



1321

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Robert K. Rowe

Application No./Patent No.: 09/832,534 Filed/Issue Date: April 11, 2001

Entitled: APPARATUS AND METHOD OF BIOMETRIC IDENTIFICATION OR VERIFICATION OF INDIVIDUALS USING OPTICAL SPECTROSCOPY

Lumidigm, Inc. a Delaware corporation

(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- 1. the assignee of the entire right, title, and interest; or
- 2. an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____%

in the patent application/patent identified above by virtue of either:

A. An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Robert K. Rowe et al. To: Rio Grande Medical Technologies, Inc.
The document was recorded in the United States Patent and Trademark Office at Reel 012038, Frame 0875, or for which a copy thereof is attached.

2. From: Rio Grande Medical Technologies, Inc. To: Lumidigm, Inc.
The document will be recorded in the United States Patent and Trademark Office, for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

(NOTE): A separate copy (*i.e.*, the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

11-14-02
Date

Robert K. Rowe
Typed or printed name

Signature

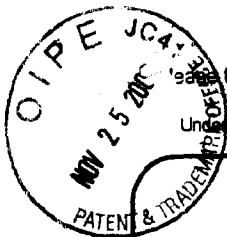
Chief Technology Officer
Title

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<h1>TRANSMITTAL FORM</h1> <p><i>(to be used for all correspondence after initial filing)</i></p>	Application Number	09/832,534; 09/415,594; 09/874,740
	Filing Date	See attached
	First Named Inventor	Robert K. Rowe
	Group Art Unit	
	Examiner Name	
Total Number of Pages in This Submission	Attorney Docket Number	020204-001300US

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard
Remarks		The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

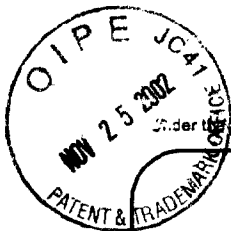
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PREVIOUSLY FILED

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm and Individual name	Townsend and Townsend and Crew LLP Patrick M. Boucher Reg. No. 44,037
Signature	<i>Patrick M. Boucher</i>
Date	November 14, 2002

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: U.S. Patent and Trademark Office, CG4 Third Floor, Assignment Branch, 1213 Jefferson Davis Highway, Arlington, VA 22202 on this date:	
November 14, 2002	
Typed or printed name	Nina L. McNeill
Signature	<i>Nina L. McNeill</i>
Date	November 14, 2002

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FEE TRANSMITTAL
for FY 2003

Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 120

Complete if Known

Application Number: 09/832,534; 09/415,594; 09/874,740
Filing Date: See attached
First Named Inventor: Robert K. Rowe
Examiner Name:
Group Art Unit:
Attorney Docket No.: 020204-001300US

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METHOD OF PAYMENT (check all that apply)

Check Credit Card MoneyOrder Other None

Deposit Account:

Deposit Account Number

20-1430

Deposit Account Name

Townsend and Townsend and Crew LLP

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below Credit any overpayments
Charge any additional fee(s) during the pendency of this application
Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Table with columns: Fee Code, Fee (\$), Fee Description, Fee Paid. Rows include Utility filing fee, Design filing fee, Plant filing fee, Reissue filing fee, Provisional filing fee.

SUBTOTAL (1) (\$) 120

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Table for Extra Claims with columns: Total Claims, Independent Claims, Multiple Dependent, Extra Claims, Fees from below, Fee Paid.

Table for Fee Calculation with columns: Fee Code, Fee (\$), Fee Description, Fee Paid. Rows include Claims in excess of 20, Independent claims in excess of 3, Multiple dependent claim, Reissue independent claims, Reissue claims in excess of 20.

SUBTOTAL (2) (\$) 120

**or number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Table with columns: Large Entity Fee Code, Small Entity Fee Code, Fee Description, Fee Paid. Rows include Surcharge - late filing fee, Non-English specification, Extension for reply, etc.

Other fee (specify)

*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)120

SUBMITTED BY

Complete (if applicable)

Name (Print/Type): Patrick M. Boucher, Registration No. (Attorney/Agent): 44,037, Telephone: 303-571-4000
Signature: [Handwritten Signature], Date: November 14, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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PATENT

RECORDED: 11/25/2002

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