

10-24-2003



Sheet

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Attorney Docket No.: 42P16590

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

1. Name of conveying party(ies):

Pieter G. Kik

10-23-03

Additional name(s) of conveying party(ies) attached?

☒ No ☐ Yes

2. Name and address of receiving party(ies):

Name: California Institute of Technology

Internal Address: _____

3. Nature of Conveyance

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other:Street Address: 1200 East California BoulevardCity: Pasadena State/Province: CA Zip: 91125Country: USAExecution Date(s): September 10, 2003Additional name(s) & address(es) 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: _____

A. Patent Application No.(s)

10/465,355, filed 06/18/2003

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Blakely, Sokoloff, Taylor & Zafman LLPInternal Address: Cory G. ClaassenStreet Address: 12400 Wilshire Boulevard, 7th Floor
Los Angeles, California 900256. Total number of applications and patents involved: 17. Total Fee (37 CFR 3.41).....\$ 40.00☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit Account Number:

02-2666

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

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.

Cory G. Claassen; Reg. No. 50,296

Name of Person Signing

Signature

Oct. 20, 2003

Date

Total number of pages including cover sheet, attachments, and documents: 2

Mail documents to be recorded with required cover sheet information to:

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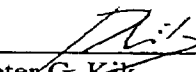
Alexandria, Virginia 22313-1450

Based on Form PTO-1595 as modified by BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP on 05/09/03

PATENT
REEL: 014610 FRAME: 0480

ASSIGNMENT

For valuable consideration, I, Pieter G. Kik of Pasadena, CA, hereby assign to: California Institute of Technology, a non-profit corporation having a place of business at: 1200 East California Boulevard, Pasadena, CA 91125; and its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by me, entitled NANOCRYSTAL BASED HIGH-SPEED ELECTRO-OPTIC MODULATOR, filed 06/18/03, and assigned U.S. Serial Number 10/465,355, and I authorize and request the attorneys appointed in said application to hereafter complete this assignment by inserting above the filing date and serial number of said application when known; this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and I authorize the Assignee to apply in all countries in my name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and I agree for me and my respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

Date: 9/10/2003

Pieter G. Kik

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