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OMB No. 0651-0027 (exp. 5/31/2002)

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

1. Name of conveying party(ies):

California Institute of Technology

11-5-03

2. Name and address of receiving party(ies)

Name: National Aeronautics and Space Administration

Internal Address: _____

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

3. Nature of conveyance:

☐ Assignment☐ Merger☐ Security Agreement☐ Change of Name☒ Other Confirmatory LicenseStreet Address: 300 "E" Street, SWCity: Washington State: DC Zip: 20546Execution Date: 10/20/2003Additional 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) 10/447,673

B. Patent No.(s) _____

Additional numbers attached? ☐ Yes ☒ No

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

Name: Kathy BayerInternal Address: Code GPOffice of the Associate General Counsel(Intellectual Property)Street Address: 300 "E" Street, SWCity: Washington State: DC Zip: 205466. Total number of applications and patents involved: 01

7. Total fee (37 CFR 3.41).....\$ _____

☐ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

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9. Signature.

Kathy Bayer
Name of Person SigningKathy Bayer
Signature10/31/03
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License to the Government

In accordance with a contract set forth below between the Government of the United States of America, as represented by the Administrator of the National Aeronautics and Space Administration (NASA) and the below-named Contractor, the invention cited below is a SUBJECT INVENTION made in the performance of work under the contract and the _____ Contractor has elected to retain title to the SUBJECT INVENTION; or _____ the Contractor has elected not to retain title to the SUBJECT INVENTION; and NASA, after consultation with the Contractor, has granted the request for retention of rights by the Inventor, and employee of the Contractor, subject to the provisions of 35 U.S.C. § 202(d) and FAR 52.227-11, Patent Rights-Retention by the Contractor, but subject to a license to the Government, as described below.

NOW THEREFORE, pursuant to the terms and conditions of the contract, the Contractor/Inventor does hereby grant to the Government of the United States a non-exclusive, non-transferable, irrevocable, paid-up license to practice or have practiced for or on behalf of the United States this SUBJECT INVENTION and any patents which may issue thereon throughout the world. At this time at least the following U.S. patent application has been filed on the SUBJECT INVENTION.

Title: Nonlinear Optical Whispering Gallery Mode Resonators

Patent Application Serial No.: 10/447,673 Filed: 5/28/2003	Contractor: California Institute of Technology Contractor Case No.: 3693 NASA Case No.: NPO 30638 Contract No.: NAS7-1407
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Inventor(s): Vladimir S. Ilchenko; Andrey B. Matsko; Anatoliy Savchenkov; Lutfollah Maleki

The Contractor/Inventor agrees to conclude, within the specification of any United States patent applications and any patents issuing thereon covering this SUBJECT INVENTION, the following statement as in FAR 52.227-11(f)(4):

This invention was made with Government support under contract NAS7-1407 awarded by NASA. The Government has certain rights in this invention.

The Contractor/Inventor further agrees to notify the NASA of any decision not to continue prosecution of the application(s), pay maintenance fees, or defend in a reexamination or opposition proceeding on a patent, in any country, not less than thirty days before the expiration period required by the U.S. Patent and Trademark Office.

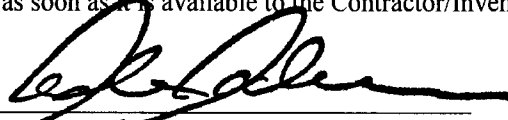
Title to this Invention is subject to March-In-Rights by the NASA as stated in 35 U.S.C. § 203 and FAR 52.227-11(j).

The Contractor/Inventor shall furnish a copy of the patent application cited above and a listing of each country in which applications have been and are filed. Whenever a patent issues on the SUBJECT INVENTION, the patent number, the issue date, and the country shall be made known to the Government as soon as it is available to the Contractor/Inventor.

Adam Cochran

The Intellectual Property Counsel

(Typed name and title of Corporate Officer)


(Signature and date)

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October 20, 2003