

RECORDATION FORM COVER SHEET

PATENTS ONLY

To the Director of the U.S. Patents and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)/Execution Date(s):

DIORIO, Christopher J.  
HUMES, Todd E.

Execution Date(s) 10/4/2002; 10/4/2002

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

2. Name and address of receiving party(ies)

Name: California Institute of Technology

Internal Address: \_\_\_\_\_

Street Address: 1200 E. California Boulevard, MS 201-85

City: Pasadena

State: California

Country: USA

Zip: 91125

Additional Name(s) & address(es) attached?  Yes  No

3. Nature of conveyance:

- Assignment  Merger
- Security Agreement  Change of Name
- Government Interest Assignment
- Executive Order 9424, Confirmatory License
- Other \_\_\_\_\_

4. Application number(s) or patent number(s):

A. Patent Application No.(s)  
10/914,968

This document is being filed together with a new application.

B. Patent No.(s)

Additional numbers attached?  Yes  No

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

Name: David B. Ritchie

Internal Address: Thelen Reid & Priest LLP

P.O. BOX 640640

Street Address: \_\_\_\_\_

City: San Jose

State: CA Zip: 95164-0640

Phone Number: (408) 292-5800

Fax Number: (408) 287-8040

Email Address: dritchier@thelenreid.com

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40.00

- Authorized to be charged by credit card
- Authorized to be charged to deposit account
- Enclosed
- None required (government interest not affecting title)

8. Payment Information

a. Credit Card Last 4 Numbers \_\_\_\_\_  
Expiration Date \_\_\_\_\_

b. Deposit Account Number 50-1698

Authorized User Name Thelen Reid & Priest LLP

9. Signature :

  
Signature

1-6-2005  
Date

David B. Ritchie, Reg. No. 31,562

Name of Person Signing

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

4

Documents to be recorded (including cover sheet) should be faxed to (703) 306-5995, or mailed to:  
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

PATENT

REEL: 015572 FRAME: 0417

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## ASSIGNMENT

WHEREAS, I, Christopher J. Diorio, a citizen of the United States of America, residing at 17001 NW 15<sup>th</sup> Street, Shoreline, Washington 98177 and Todd E. Humes, a citizen of the United States of America, residing at 817 NW 200<sup>th</sup> Street, Shoreline, Washington 98177 have invented "FLOATING-GATE SEMICONDUCTOR STRUCTURES" for which we have executed application papers for a U.S. patent thereon which was filed on July 9, 2002, having application serial no. 10/192,773; and

WHEREAS, California Institute of Technology, a California non-profit organization, having a place of business located at 1200 E. California Boulevard MS 201-85, Pasadena, California 91125 is desirous of acquiring the exclusive right, title and interest in and to said invention and in and to the Letters Patent to be granted and issued therefor in the United States of America and its territories and possessions, and all countries foreign thereto;


NOW, THEREFORE, for a valuable consideration, the receipt of which is hereby acknowledged, I Christopher J. Diorio and Todd E. Humes, do sell, assign, transfer and set over unto the said California Institute of Technology, its successors and assigns, the full and exclusive right, title and interest in and to said invention, and in and to any and all Letters Patent to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but also for, to and in all other countries including all priority rights under the International Convention; and we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said California Institute of Technology, its successors and assigns, in accordance with this Assignment.



ASSIGNMENT CONTINUATION

Re: U.S. Patent Application entitled: "FLOATING- GATE SEMICONDUCTOR STRUCTURES"  
Inventor: Todd E. Humes  
Filing date: July 9, 2002

WITNESS MY HAND at SEATTLE, Washington, this 4 day of  
OCTOBER, 2002.

  
\_\_\_\_\_  
Todd E. Humes

STATE OF WASHINGTON )  
COUNTY OF \_\_\_\_\_ ) ss.

On this \_\_\_\_\_ day of \_\_\_\_\_, 2002, before me, \_\_\_\_\_,  
a Notary Public, personally appeared Todd E. Humes, personally known to me (or proved to me on the  
basis of satisfactory evidence) to be the person/s whose name is/are subscribed to the within instrument  
and acknowledged to me that he/she/they executed the same in his/her/their authorized capacities, and  
that by his/her/their signature/s on the instrument the person/s or the entity upon behalf of which the  
person/s acted, executed the instrument.

WITNESS my hand and official seal.

\_\_\_\_\_  
NOTARY PUBLIC