

Recordation Form Cover Sheet PATENTS ONLY

Attorney's Docket No. 1034345-000221

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

[Redacted box]

1. Name of conveying party(ies):
Paul W. K. Rothemund

2. Name and address of receiving party(ies):
The California Institute of Technology
1200 E. California Boulevard, M/S 210-85, Pasadena, California 91125, USA

3. Nature of Conveyance/Execution Date(s):
Execution Date(s): June 7, 2006

- | | |
|--|--|
| <input checked="" type="checkbox"/> Assignment | <input type="checkbox"/> Executive Order 9424 Confirmatory License |
| <input type="checkbox"/> Security Agreement | <input type="checkbox"/> Merger |
| <input type="checkbox"/> Joint Research Agreement | <input type="checkbox"/> Change of Name |
| <input type="checkbox"/> Government Interest Agreement | |
| <input type="checkbox"/> Other: _____ | |

4. Application or patent number(s):
A. Patent Application No.(s) 11/452,699
B. Patent No.(s)

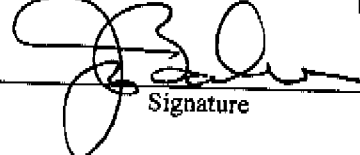
This document is being filed together with a new application.

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


Name: Joseph R. Baker
Address: Buchanan Ingersoll & Rooney LLP
Customer Number 41790
P.O. Box 1404
Alexandria, VA 22313-1404

6. Total number of applications and patents involved: One

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40
 Authorized to be charged by credit card. PTO Form 2038 attached.
 Authorized to be charged to deposit account 02-4800
 Enclosed.
 None required (gov't interest not affecting title)

8. Signature: 
Signature _____ Reg. No. 40900 Date July 26, 2006
Joseph R. Baker
Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 5

I hereby certify that this correspondence is being submitted by facsimile transmission to the commission for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, to the following facsimile number.
Facsimile Number. (571) 273-0140

Typed Name: Kim A. Cabello Date of Transmission: July 26, 2006

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, PATENT
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, VA 22313-1450

OP \$40.00 11452669

ASSIGNMENT

(SOLE)

THIS ASSIGNMENT, by Paul W.K. Rothmund, residing at 465 South Hudson Ave., Unit #4, Pasadena, CA 91101, U.S.A. (hereinafter referred to as "the Assignor"), respectively, witnesseth:

WHEREAS, the Assignor has invented certain new and useful improvements in NANOSTRUCTURES, METHODS OF MAKING AND USING THE SAME set forth in an application for Letters Patent of the United States, which is a

- (1) provisional application
- (a) bearing Application No. "Appln. No.", and filed on "Filing Date";
- (b) to be filed herewith; or
- (2) non-provisional application
- (a) bearing Application No. 11/452,699, and filed on June 14, 2006;
- (b) having an oath or declaration executed on even date herewith prior to filing of application;
- (c) having an oath or declaration executed on a different date than this Assignment; and

WHEREAS, California Institute of Technology, a corporation duly organized under and pursuant to the laws of California, U.S.A. and having a principal place of business at 1200 E. California Blvd., M/C 210-85, Pasadena, CA 91125, U.S.A. (hereinafter referred to as "the Assignee"), is desirous of acquiring the entire right, title, and interest in and to said inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications, including provisional applications for Letters Patent of the United States or other countries claiming priority to said application, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon.

NOW, THEREFORE, for good and sufficient consideration, the receipt of which is hereby acknowledged, the Assignor has sold, assigned, transferred, and set over, and by these presents does sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns the entire right, title, and interest in and to the above-mentioned inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications for Letters Patent of the United States or other countries claiming priority to said applications, and any and all Letters Patent or Patents of the United States of America and all foreign countries that may be granted therefor and thereon, and in and to any and all applications claiming priority to said applications, divisions, continuations, and continuations-in-part of said applications, and reissues and extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by the Assignee, for its own use and behoof and the use and behoof of its successors, legal representatives, and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted as fully and entirely as the same would have been held and enjoyed by the Assignor had this sale and assignment not been made;

AND for the same consideration, the Assignor hereby covenants and agrees to and with the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, the Assignor is the sole and lawful owner of the entire right, title, and interest in and to the inventions set forth in said applications and said applications, including provisional applications, above-mentioned, and that the same are unencumbered, and that the Assignor has good and full right and lawful authority to sell and convey the same in the manner herein set forth;

Application No. 11/452,699
Attorney Docket No. 1034345-000221/CIT4403

AND for the same consideration, the Assignor hereby covenants and agrees to and with the Assignee, its successors, legal representatives, and assigns that the Assignor will, whenever counsel of the Assignee, or the counsel of its successors, legal representatives, and assigns, shall advise that any proceeding in connection with said inventions or said applications for Letters Patent or Patents, or any proceeding in connection with Letters Patent or Patents for said inventions in any country, including interference proceedings, is lawful and desirable, or that any application claiming priority to said application, division, continuation, or continuation-in-part of any applications for Letters Patent or Patents, or any reissue or extension of any Letters Patent or Patents to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement, and defense of Letters Patent or Patents for said inventions, without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns;

AND the Assignor hereby authorizes and requests the attorneys of Buchanan Ingersoll PC (including attorneys from Burns, Doane, Swecker & Mathis) to insert in the spaces provided above the title of the invention, filing date, application number, and attorney's docket number of said application when known.

AND the Assignor hereby requests the Commissioner of Patents to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behoof of the Assignee, its successors, legal representatives, and assigns.

DATE 6/7/2006

Paul W.K. Rothmund

Paul W.K. Rothmund