

Form PTO-1595 (Rev. 07/05)  
OMB No. 0651-0027 (exp. 6/30/2008)

10-11-2007

U.S. DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office



103452325

HEET

To the Director of the U.S. Patent and Trademark Office, send the enclosed documents or the new address(es) below.

10.4.07

1. Name of conveying party(ies)

The Regents of the University of California  
1111 Franklin Street  
Oakland, CA 94607-5200

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

2. Name and address of receiving party(ies)

Name: Lawrence Livermore National Security, LLC

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

Street Address: Lawrence Livermore National Laboratory

7000 East Avenue, L-703

City: Livermore

State: California

Country: US Zip: 94551-9234

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

3. Nature of conveyance/Execution Date(s):

Execution Date(s) 9-24-2007

- Assignment  Merger
- Security Agreement  Change of Name
- Joint Research Agreement
- Government Interest Assignment
- Executive Order 9424, Confirmatory License
- Other 50% undivided interest

4. Application or patent number(s):

This document is being filed together with a new application.

A. Patent Application No.(s)

B. Patent No.(s)

SEE ATTACHED LIST

10/11/2007 DBYRNE 00000086 120695 5319211  
01 Fee:8021 760.00 DA

Additional numbers attached?  Yes  No

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

Name: John H. Lee

Internal Address: Lawrence Livermore National Laboratory

Street Address: 7000 East Avenue, L-703

City: Livermore

State: California Zip: 94551-9234

Phone Number: (925) 422-7073

Fax Number: (925) 423-2231

Email Address: lee19@lln.gov

6. Total number of applications and patents involved: 19

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 760

- 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 12-0695 (\$760)

Authorized User Name John H. Lee

9. Signature:

Signature

9/24/07 Date

John H. Lee

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 (571) 273-0140, or mailed to:  
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

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## UNIVERSITY OF CALIFORNIA

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OFFICE OF THE PROVOST AND EXECUTIVE VICE PRESIDENT -  
ACADEMIC AND HEALTH AFFAIRSOFFICE OF TECHNOLOGY TRANSFER  
1111 Franklin Street, 5<sup>th</sup> Floor  
Oakland, California 94607-5200  
Web Site: www.ucop.edu/ott/  
Tel: (510) 587-6000  
Fax: (510) 587-6090

APPOINTMENT OF AGENT BY UC  
FOR INTELLECTUAL PROPERTY REASSIGNMENTS FROM UC TO  
LAWRENCE LIVERMORE NATIONAL SECURITY, LLC

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA (hereinafter referred to as the "University") have signed a Supplemental Agreement (Modification No. M534) to Contract W-7405-ENG-48 wherein Modification No. M534, *Section 1.081 (i) Transfer to Successor Contractor* addresses transfer and/or assignment of matters including Intellectual Property from the University to the successor contractor Lawrence Livermore National Security, LLC (LLNS) at the earliest appropriate time.

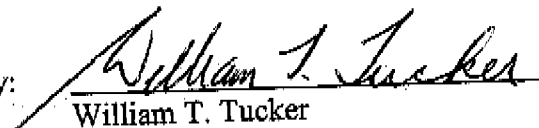
Modification No. M534, *Section 1.081 (b) Definitions* sets out that the Intellectual Property includes all forms of "intellectual property" whatsoever, including but not limited to patents, trademarks, copyrights, mask works, protected CRADA information, and other forms of comparable property rights protected by Federal Law and other foreign counterparts.

Intellectual Property under Contract W-7405-ENG-48 may require an assignment at a future date from named inventors to the University, where the University was their employer at the time of invention for inventions described and/or disclosed in pending or subsequently submitted invention disclosures.

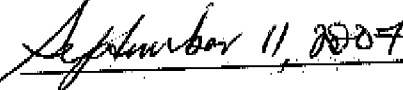
Under Modification No. M534 to contract W-7405-ENG-48, any such future assignments to the University must be transferred to the successor contractor at the earliest appropriate time.

Accordingly, the University hereby appoints the following person, John H. Lee, as Agent for the specific and limited purpose of submitting a reassignment from the University to LLNS, the successor contractor, of any subsequent Intellectual Property identified as arising under Contract W-7405-ENG-48 for recordation in the United States Patent and Trademark Office (USPTO) and corresponding foreign IP offices. Such reassignment shall preferably be filed with the USPTO and corresponding IP offices for recordation at the same time an initial assignment from named inventors to the University is filed with the USPTO for recordation thereby transferring assignment at the earliest appropriate time. Additionally, the Agent may sign foreign IP office related documents on behalf of the University for up to one year from the date of this document, such documents including but not limited to powers of attorney as may be required by foreign IP offices.

Signed by:

  
William T. Tucker

Date:

  
September 11, 2007

Title:

Executive Director, Research Administration and Technology Transfer

Location:

University of California, Office of the President

PATENT  
REEL: 020010 FRAME: 0400

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Assignment Recordation Services  
Commissioner for Patents  
Alexandria, VA 22313-1450

REASSIGNMENT OF PATENTS TO NEW RECEIVING PARTY

Sir:

Enclosed is a Recordation Form Cover Sheet Patents Only with attached listing of 19 patents to reassign 50% undivided interest from The Regents of the University of California to Lawrence Livermore National Security, LLC.

Also enclosed is a letter from the conveying party, The Regents of the University of California, authorizing the transfer of Intellectual Property to the receiving party Lawrence Livermore National Security, LLC (Successor Contractor).

Respectfully submitted,

Date: 9/24/07

John H. Lee  
Deputy Laboratory Counsel for  
Intellectual Property (Acting)  
Registration No. 53,193

PATENT

REEL: 020010 FRAME: 0401



RECEIVED

OCT 22 2007

**UNITED STATES PATENT AND TRADEMARK OFFICE**
~~LLNL-I.P.L.G.~~

 UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND  
 DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

OCTOBER 16, 2007

PTAS



\*103452325A\*

 JOHN H. LEE  
 LAWRENCE LIVERMORE NATIONAL LABORATORY  
 7000 EAST AVENUE, L-703  
 LIVERMORE, CA 94551-9234

 UNITED STATES PATENT AND TRADEMARK OFFICE  
 NOTICE OF NON-RECORDATION OF DOCUMENT

DOCUMENT ID NO.: 103452325

THE ENCLOSED DOCUMENT HAS BEEN EXAMINED AND FOUND NON-RECORDABLE BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. THE REASON(S) FOR NON-RECORDATION ARE STATED BELOW. DOCUMENTS BEING RESUBMITTED FOR RECORDATION MUST BE ACCOMPANIED BY A NEW COVER SHEET REFLECTING THE CORRECT INFORMATION TO BE RECORDED AND THE DOCUMENT ID NUMBER REFERENCED ABOVE.

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SEND DOCUMENTS TO: U.S. PATENT AND TRADEMARK OFFICE,  
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 IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE,  
 YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT  
 571-272-3350.

1. THE COVER SHEET SUBMITTED FOR RECORDING IS NOT ACCEPTABLE. AN EXECUTION DATE MUST BE INDICATED FOR EACH CONVEYING PARTY.

 JEFFREY OLSEN, EXAMINER  
 ASSIGNMENT SERVICES BRANCH  
 PUBLIC RECORDS DIVISION

PATENT



**LAWRENCE LIVERMORE NATIONAL LABORATORY  
OFFICE OF LABORATORY COUNSEL/INTELLECTUAL PROPERTY LAW GROUP**

P.O. Box 808  
Mail Stop L-703  
Livermore, CA 94551-9900

FAX NO. (925) 423-2231      VERIFY NO. (925) 422-7272

# Facsimile

Date: 10-24-2007

TO: Assignment Branch  
AX NO: US Patent and Trademark Office  
(571) 273-0140

No. of pages  
to follow:  
5

FROM: April Masluk

PHONE: (925) 422-0112  
FAX: (925) 423-2231

**Contents/Message:**

**Subject: Document ID No. 103452325**

**This is in response to the Notice of Non-Recordation of Document mailed October 16, 2007. Please kindly record the corrected document submitted.**

**Thank you.**

**April Masluk  
Intellectual Property Law Group  
Tel: 925-422-0112**

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