

Form PTO-1595 (Rev. 08/05)  
OMB No. 0651-0027 (exp. 7/31/2008)

Attorney Docket No. 37866-505001US/SD2007-103

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

# RECORDATION FORM COVER SHEET PATENTS ONLY

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

## 1. Name of conveying party(ies)

Marian Stewart Bartlett, Gwen Littlewort-Ford,  
Javier Movellan and Ian Fasel.

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

Name: The Regents Of the University of California

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

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

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

Execution Date(s) 10/15/09, 11/13/09, 11/16/09, 12/14/09

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

Street Address: 1111 Franklin Street

5th Floor

City: Oakland

State: California

Country: USA Zip: 94607-5200

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

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

A. Patent Application No.(s)

12/548,294

☐ This document is being filed together with a new application.

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Michael D. Van Loy

Internal Address: Mintz, Levin, Cohn, Ferris,

Glovesky and Popeo, P.C.

Street Address: 3580 Carmel Mountain Road

Suite 300

City: San Diego

State: CA Zip: 92130

Phone Number: (858) 314-1500

Fax Number: (858) 314-1501

Email Address: mdvanloy@mintz.com

## 6. Total number of applications and patents involved:

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 50-0311

Authorized User Name Michael D. Van Loy

## 9. Signature:



January 15, 2010

Date

Michael D. Van Loy (Reg. No. 52,315)

Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 7

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:  
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PATENT

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Attorney's Docket No.: 37866-505001US  
Client Ref. No.: SD2007-103

### ASSIGNMENT

We, Marian Stewart Bartlett of 13056 Candela Place, San Diego, California 92130, Gwen Littlewort-Ford of 145 Cliff Street, Solana Beach, California 92075, and Javier Movellan of 8787 Caminito Abrazo, La Jolla, California 92037, and Ian Fasel of 904 E 7<sup>th</sup> Street, Tucson, Arizona 85719, and the undersigned, for good and valuable consideration, the receipt of which is hereby acknowledged, confirm that we have sold and assigned, and do hereby assign, sell and transfer to The Regents of the University of California, a California corporation with an office at 1111 Franklin Street, 5th Floor, Oakland, CA 94607-5200 and to its successors, assigns and legal representatives, collectively hereinafter referred to as the ASSIGNEE: (1) our entire right, title and interest for the United States and in all countries, in and to any and all inventions, discoveries and applications which are disclosed in the application for United States Letters Patent entitled:

### AUTOMATED FACIAL ACTION CODING SYSTEM

filed with the U.S. Patent and Trademark Office on August 26, 2009 and assigned Application No. 12/548,294<sup>1</sup>, including any subsequently filed utility applications, which claim priority to Application No.<sup>1</sup>, and including any renewals, revivals, reissues, reexaminations, extensions, continuations and divisions thereof and any substitute applications therefor; (2) the full and complete right to file patent applications in the name of the ASSIGNEE, its designee, or in my/our names as the ASSIGNEE, or its designee's election, on the aforesaid inventions, discoveries and applications in all countries of the world; (3) the entire right, title and interest in and to any Letters Patent which may issue thereon in the United States or in any country, and any renewals, revivals, reissues, reexaminations and extensions thereof, and any patents of confirmation, registration and importation of the same; and (4) the entire right, title and interest in all Convention and Treaty Rights of all kinds thereon, including without limitation all rights of priority in any country of the world, in and to the above inventions, discoveries and applications.

We hereby authorize and request the competent authorities to grant and to issue any and all such Letters Patent in the United States and throughout the world to the ASSIGNEE of the entire right, title and interest therein, as fully and entirely as the same would have been held and enjoyed by us had this assignment, sale and transfer not been made.

We agree, at any time, upon the request of the ASSIGNEE, to execute and to deliver to the ASSIGNEE any additional applications for patents for said inventions and discoveries, or any part or parts thereof, and any applications for patents of confirmation, registration and importation based on any Letters Patent issuing on said inventions, discoveries, or applications and divisions, continuations, renewals, revivals, reissues, reexaminations and extensions thereof.

We further agree at any time to execute and to deliver upon request of the ASSIGNEE such additional documents, if any, as are necessary or desirable to secure patent protection on said inventions, discoveries and applications throughout all countries of the world, and otherwise to do the necessary to give full effect to and to perfect the rights of the ASSIGNEE under this Assignment, including the execution, delivery and procurement of any and all further documents evidencing this assignment, transfer and sale as may be necessary or desirable.

<sup>1</sup> Any attorney or agent of record and any registered attorney or agent of Mintz, Levin, Cohn, Ferris, Glovsky and Popeo, P.C. is hereby authorized to insert, when known.

First Inventor :Marian Stewart Bartlett et al.  
 Application No. : 12/548,394  
 Page 3 of 6

Date: October 15, 2009

Marian Stewart Bartlett  
 Signature of Marian Stewart Bartlett

# **CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT**

State of California

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_  
 Date Here insert name and title of the officer

personally appeared \_\_\_\_\_  
 Name(s) of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Place Notary Seal Above

Signature \_\_\_\_\_  
 Signature of Notary Public

-OR-

Kelly Hudson  
 Witness #1 (Print Name)

[Signature]  
 Witness #1 (Signature)

Nicholas Butko  
 Witness #2 (Print Name)

[Signature]  
 Witness #2 (Signature)

October 15, 2009  
 Date

15 Oct. 2009  
 Date

Nov 16 09 10:56a UCSD

858-822-5242

p.4

First Inventor :Marian Stewart Bartlett et al.

Application No. : 12/548,294

Page 4 of 6

Date: 11-13-09Signature of: Gwen Littlewort-FordState of California San Diego  
County of San DiegoOn 11/13/09 before me, Gwen Littlewort-Ford  
Date Here insert name and title of the officer

personally appeared \_\_\_\_\_

Name(s) of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), 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, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

Place Notary Seal Above

WITNESS my hand and official seal.

Signature \_\_\_\_\_

Signature of Notary Public

-OR-

Witness #1 (Print Name)  
Kelly HudsonWitness #1 (Signature)  
[Signature]Witness #2 (Print Name)  
Luis PalaciosWitness #2 (Signature)  
[Signature]Date  
11/16/09Date  
11/16/09

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First Inventor : Marian Stewart Bartlett et al.  
 Application No. : 12/548,294  
 Page 6 of 6

Date: November 16, 2009

  
 Signature of: Ian Fasel

State of California

County of \_\_\_\_\_

On \_\_\_\_\_ before me, \_\_\_\_\_  
Date

Here insert name and title of the officer

personally appeared \_\_\_\_\_

Name(s) of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature \_\_\_\_\_

Signature of Notary Public

-OR-

\_\_\_\_\_  
Witness #1 (Print Name)\_\_\_\_\_  
Witness #1 (Signature)\_\_\_\_\_  
Date\_\_\_\_\_  
Witness #2 (Print Name)\_\_\_\_\_  
Witness #2 (Signature)\_\_\_\_\_  
Date

PATENT

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858-822-5242

p.5

First Inventor : Marian Stewart Bartlett et al  
 Application No. : 12/548,294  
 Page 5 of 6

Date:

Dec 14/09

Signature of Javier Movellan

State of California

County of \_\_\_\_\_

On \_\_\_\_\_

Date

before me,

Here insert name and title of the officer

personally appeared \_\_\_\_\_

Name(s) of Signer(s)

who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), 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.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

Place Notary Seal Above

WITNESS my hand and official seal.

Signature \_\_\_\_\_

Signature of Notary Public

-OR-

Nick Butko

Witness #1 (Print Name)

[Signature]

Witness #1 (Signature)

Kelly Hudson

Witness #2 (Print Name)

[Signature]

Witness #2 (Signature)

14 Dec. 2009

Date

12/14/09

Date