

Form PTO-1595 (Rev. 03-11)
OMB No. 0651-0027 (exp. 04/30/2015)

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)

Daniel R. Solli
Bahram Jalali
Claus Ropers

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

2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal Address: A California Corporation

Street Address: 1111 Franklin Street, 12th Floor

City: Oakland

State: California

Country: United States of America Zip: 94607-5200

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

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

Execution Date(s) 12/12/2012; 01/04/2013

- Assignment Merger
- Security Agreement Change of Name
- Joint Research Agreement
- Government Interest Assignment
- Executive Order 9424, Confirmatory License
- Other _____

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)

13/693,896

Additional numbers attached? Yes No

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

Name: John O'Banion

Internal Address: O'Banion & Ritchey LLP

Street Address: 400 Capitol Mall, Suite 1550

City: Sacramento

State: California Zip: 95814

Phone Number: (916) 498-1010

Docket Number: UC-2008-358-3-LA

Email Address: docketing@intellectual.com

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 1.21(h) & 3.41) \$40

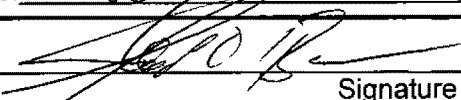
- Authorized to be charged to deposit account
- Enclosed
- None required (government interest not affecting title)

8. Payment Information

Deposit Account Number 07-1137

Authorized User Name John P. O'Banion

9. Signature:


Signature

1/8/13
Date

JOHN P. O'BANION

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

CH \$40.00 071137 13693896

ASSIGNMENT

UC. Case No. UC-2008-358-3-LA

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Daniel R. Solli 2. Bahram Jalali 3. Claus Ropers

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin Street, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

METHOD AND APPARATUS FOR GENERATION AND DETECTION OF ROGUE WAVES

and which is found in:

- _____ U.S. Provisional Application Serial No. _____ filed _____ and listing the above named persons as inventors
- X _____ U.S. Patent Application Serial No. 13/693,896, filed December 4, 2012 and listing the above named persons as inventors
- _____ U.S. Patent No. _____, issued _____ and listing the above named persons as inventors
- _____ International Patent Application Serial No. _____ filed _____ and listing the above named persons as inventors

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

12 day of December, 2012

Signature of Inventor(s)

Daniel R. Solli
Daniel R. Solli

_____ day of _____, 2012

Bahram Jalali

_____ day of _____, 2012

Claus Ropers

Hereby accepted on behalf of the Assignee.

By: Steven Kennedy

Date: 11/7/13

Name: [Signature]

O'BANION & RITCHEY LLP

ASSIGNMENT

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- _____ U.S. Patent No. _____, issued _____ and listing the above named persons as inventors
- _____ International Patent Application Serial No. _____, filed _____ and listing the above named persons as inventors

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

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executed this _____ day of _____, 2012 _____
Signature of Inventor(s)
Daniel R. Solli

_____ day of January, ~~2012~~ 2013 _____
Bahram Jalali
Bahram Jalali

_____ day of _____, 2012 _____
Claus Ropers

Hereby accepted on behalf of the Assignee:
By: _____
Name: Steven Kennedy

Date: 1/7/13

O'BANION & RITCHEY LLP

ASSIGNMENT

UC. Case No. UC-2008-358-3-LA

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and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

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AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

| | |
|---------------------------------------|---------------------------------|
| executed this | Signature of Inventor(s) |
| _____ day of _____, 2012 | _____ Daniel R. Solli |
| _____ day of _____, 2012 | _____ Bahram Jalali |
| <u>4</u> day of <u>January</u> , 2013 | <u>[Signature]</u> Claus Ropers |

Hereby accepted on behalf of the Assignee:

By: [Signature]
Name: Steven Kennedy

Date: 1/7/13

O'BANION & RITCHEY LLP

PATENT