

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
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EPAS ID: PAT3352557

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
RYAN M. BRIGGS	05/11/2015
CLIFFORD F. FREZ	05/11/2015
SIAMAK FOROUHAR	05/11/2015
RECEIVING PARTY DATA	
Name:	CALIFORNIA INSTITUTE OF TECHNOLOGY
Street Address:	1200 EAST CALIFORNIA BOULEVARD
Internal Address:	MAIL STOP 6-32
City:	PASADENA
State/Country:	CALIFORNIA
Postal Code:	91125
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	14711695
CORRESPONDENCE DATA	
Fax Number:	(949)852-0004
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
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ATTORNEY DOCKET NUMBER:	C9-03868
NAME OF SUBMITTER:	KATRINA LEE
SIGNATURE:	/Katrina Lee/
DATE SIGNED:	05/13/2015
Total Attachments: 4	
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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)

Ryan M. Briggs; Clifford F. Frez; Siamak Forouhar

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

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

Execution Date(s) May 11, 2015; May 11, 2015; May 11, 2015

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

2. Name and address of receiving party(ies)

Name: California Institute of Technology

Internal Address: Mail Stop 6-32

Street Address: 1200 East California Boulevard

City: Pasadena

State: CA

Country: US Zip: 91125

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

4. Application or patent number(s):

This document serves as an Oath/Declaration (37 CFR 1.63).

A. Patent Application No.(s)

B. Patent No.(s)

14/711,695

Additional numbers attached? Yes No

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

Name: KPPB LLP

Internal Address: Suite 1050

Street Address: 2400 E. Katella Avenue

City: Anaheim

State: CA Zip: 92806

Phone Number: 949.852.0000

Docket Number: C9-03868

Email Address: pair@kppb.com

6. Total number of applications and patents involved: 1

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

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

8. Payment Information

Deposit Account Number _____

Authorized User Name _____

9. Signature: /John W. Peck/

05/13/2015

Signature

Date

John W. Peck

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

ASSIGNMENT

WHEREAS, WE, Ryan M. Briggs, Clifford F. Frez, and Siamak Fourouhar, have made certain new and useful inventions and improvements for which an application for Letters Patent of the United States entitled INDEX-COUPLED DISTRIBUTED-FEEDBACK SEMICONDUCTOR QUANTUM CASCADE LASERS FABRICATED WITHOUT EPITAXIAL REGROWTH has been or will be filed;

WHEREAS, California Institute of Technology, a corporation organized and existing under and by virtue of the laws of the State of California, and having an office and place of business at 1200 East California Boulevard, Mail Stop 6-32, Pasadena, California 91125 (hereinafter "Assignee"), is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefore;

NOW, THEREFORE, to all whom it may concern, be it known that for good and valuable consideration, the receipt and sufficiency whereof is hereby acknowledged, we have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the said application, all divisions, continuations, continuations-in-part, or renewals thereof, all Letters Patent which may be granted there from, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted there from; and we do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the said Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the said Assignee, its successors and assigns.

AND, for the consideration aforesaid, we do hereby agree that we and our executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all

facts known to us relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire right, title and interest in and to the said improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore, we covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me and that full right to convey the same as herein expressed is possessed by me.

IN WITNESS WHEREOF, I have hereunto set my hand this 11th day of May, 2015.



Ryan M. Briggs
2091 Las Lunas Street
Pasadena, CA 91107

WITNESS: 

Print name BRUCE TUMBLE

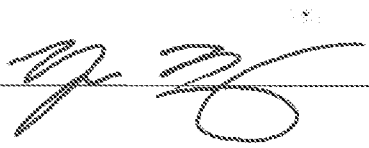
IN WITNESS WHEREOF, I have hereunto set my hand this 11 day of MAY, 2015.


Clifford F. Frez
425 S. Baldwin Avenue
Apartment E
Arcadia, CA 91007

WITNESS: 
Print name Ryan Briggs

IN WITNESS WHEREOF, I have hereunto set my hand this 11 day of May, 2015.


Siamak Foreuher
1720 San Pasqual Street
Pasadena, CA 91106

WITNESS: 
Print name Ryan Briggs
