

PATENT ASSIGNMENT COVER SHEET

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EPAS ID: PAT3916685

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
IVAN S. GRUDININ	05/23/2016
NAN YU	05/23/2016
LUKAS M. BAUMGARTEL	05/31/2016
RECEIVING PARTY DATA	
Name:	CALIFORNIA INSTITUTE OF TECHNOLOGY
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City:	PASADENA
State/Country:	CALIFORNIA
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PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	15069725
CORRESPONDENCE DATA	
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ATTORNEY DOCKET NUMBER:	176.115-US-U1
NAME OF SUBMITTER:	GERARD B. SERAPIGLIA
SIGNATURE:	/GERARD B. SERAPIGLIA/
DATE SIGNED:	06/14/2016
This document serves as an Oath/Declaration (37 CFR 1.63).	
Total Attachments: 3	
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source=Executed_AssignDeclaration#page2.tif	

ASSIGNMENT/DECLARATION

WHEREAS, Ivan S. Grudin, Nan Yu, and Lukas M. Baumgartel (hereinafter "Assignor(s)"), made certain new and useful inventions and improvements which are entitled A METHOD OF ENGINEERING THE DISPERSION OF WHISPERING GALLERY MODE RESONATORS AND THE RESONATORS WITH DISPERSION ENGINEERED BY THE METHOD

and which are disclosed in the following application(s):

☒ U.S. Application Serial No. 15/069,725, filed on March 14, 2016,

and listing the above named person(s) as inventor(s) AND WHEREAS, California Institute of Technology a non-profit 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, Pasadena, California 91125 (hereinafter "Assignee") is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application(s) and in and to the Letters Patent to be obtained therefor;

NOW THEREFORE, to all whom it may concern, be it known that for and in consideration of the sum of One Dollar and other good and valuable considerations, the receipt and sufficiency whereof is hereby acknowledged, Assignor(s) 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(s), and in and to the application(s), all divisions, continuations, or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extensions of such patents, and in and to any and all application(s) which have been or shall be filed in any foreign countries for Letters Patent on the 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 therefrom; and do hereby authorize and request the Commissioner for Patents to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the Assignee, its successors and assigns;

AND, for the consideration aforesaid, Assignor(s) do hereby agree that they and their 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 Assignor(s) 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 improvements, inventions, application(s), Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be;

AND, 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(s) when officially known;

AND, furthermore Assignor(s) 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 Assignor(s) and that full right to convey the same as herein expressed is possessed by Assignor(s).

The above-identified application(s) was/were made or authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application(s).

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

Date: MAY 23, 2016

Signature: _____

Name: Ivan S. Grudinin

Date: 5/23/16

Signature: _____

Name: Nan Yu

Date: _____

Signature: _____

Name: Lukas M. Baumgartel

and will communicate to said Assignee, its successors and representatives all facts known to Assignor(s) 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 improvements, inventions, application(s), Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be;

AND, 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(s) when officially known;

AND, furthermore Assignor(s) 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 Assignor(s) and that full right to convey the same as herein expressed is possessed by Assignor(s).

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I believe that I am the original inventor or an original joint inventor of a claimed invention in the application(s).

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

Date: _____

Signature: _____

Name: Ivan S. Grudin

Date: _____

Signature: _____

Name: Nan Yu

Date: 5/31/16

Signature: 

Name: Lukas M. Baumgartel