

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT4154955

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
AXEL SCHERER	03/09/2016
FRANK T. HARTLEY	03/08/2016
RECEIVING PARTY DATA	
Name:	CALIFORNIA INSTITUTE OF TECHNOLOGY
Street Address:	1200 E. CALIFORNIA BLVD, MC 6-32
Internal Address:	OFFICE OF TECHNOLOGY TRANSFER AND CORPORATE PARTNERSHIPS
City:	PASADENA
State/Country:	CALIFORNIA
Postal Code:	91125
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	15359296
CORRESPONDENCE DATA	
Fax Number:	(732)578-0104
<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>	
Phone:	732-578-0103
Email:	docketing@kbsolaw.com
Correspondent Name:	KAPLAN BREYER SCHWARZ & OTTESEN, LLP
Address Line 1:	100 MATAWAN ROAD, SUITE 120
Address Line 4:	MATAWAN, NEW JERSEY 07747
ATTORNEY DOCKET NUMBER:	3105-001US2
NAME OF SUBMITTER:	IRENE CHRISTINE
SIGNATURE:	/Irene Christine/
DATE SIGNED:	11/22/2016
Total Attachments: 4	
source=CIT-7121_Signed_Assignment_3105-001us2#page1.tif	
source=CIT-7121_Signed_Assignment_3105-001us2#page2.tif	
source=CIT-7121_Signed_Assignment_3105-001us2#page3.tif	

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE
Assignment and Agreement

For value received, we, **Axel Scherer**, of Barnard, Vermont, United States; and **Frank T. Hartley** of Arcadia, California, United States, hereby sell, assign and transfer to **California Institute of Technology** (hereinafter "CalTech") having an office at Office of Technology Transfer and Corporate Partnerships, 1200 E. California Blvd, MC 6-32, Pasadena, California, 91125, United States, and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to all of the inventions disclosed and claimed in United States Patent Application Serial No. 15/065792, filed on March 9, 2016, entitled **Mid-Infrared Hyperspectral Spectroscopy Systems and Methods Therefor**, which claims priority to **US Provisional Application No. 62/130357**, filed on **March 9, 2015**; **US Provisional Application No. 62/235,687**, filed on **October 1, 2015**; and **US Provisional Application No. 62/264,752**, filed on **December 8, 2015**, and all the rights and privileges in said applications and under any and all Letters Patent that may be granted in the United States for said inventions. We also concurrently hereby sell, assign and transfer to CalTech the entire right, title and interest in and to any and all divisional, continuation, continuation-in-part, substitute, reissue, and/or reexamination applications claiming the benefit of said application and any and all Letters Patent that may issue therefrom.

We also concurrently hereby sell, assign and transfer to CalTech the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the patent applications aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

Because the application serial number and/or filing date of this application is not known at the time of the execution of this Assignment and Agreement, we authorize the duly-appointed attorneys of Kaplan Breyer Schwarz & Ottesen, LLP to insert the filing date and application serial number of this application in the above paragraph when known.

We authorize CalTech to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

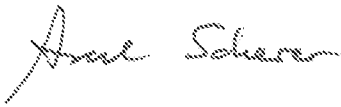
We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document, which may be required in any country in proof of the right of CalTech to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We hereby declare that we understand the definition of small entity as defined in 37 CFR 1.27 and in Title 13 of the Code of Federal Regulations, and we declare that the owner of this application is a small entity for the purposes of paying reduced fees to the United States Patent and Trademark Office. We further declare that we shall immediately notify, or cause to be notified, the USPTO when the owner of this application ceases to be a small entity for the purposes of paying reduced fees to the United States Patent and Trademark Office.

We hereby acknowledge that in the event of a conflict of interest between CalTech and us, the firm of Kaplan Breyer Schwarz & Ottesen, LLP is the attorney for CalTech and is not our attorney.

We request that any and all patents for said inventions be issued to CalTech in the United States and in all countries foreign to the United States, or to such nominees as CalTech may designate.

We agree that, when requested, we shall, without charge to CalTech but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.



3/9/2016

Axel Scherer and Date

Frank T. Hartley and Date

IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE
Assignment and Agreement

For value received, we, **Axel Scherer**, of Barnard, Vermont, United States; and **Frank T. Hartley** of Arcadia, California, United States, hereby sell, assign and transfer to **California Institute of Technology** (hereinafter "CalTech") having an office at Office of Technology Transfer and Corporate Partnerships, 1200 E. California Blvd, MC 6-32, Pasadena, California, 91125, United States, and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to all of the inventions disclosed and claimed in United States Patent Application Serial No. 15/065792, filed on March 9, 2016, entitled **Mid-Infrared Hyperspectral Spectroscopy Systems and Methods Therefor**, which claims priority to **US Provisional Application No. 62/130357**, filed on **March 9, 2015**; **US Provisional Application No. 62/235,687**, filed on **October 1, 2015**; and **US Provisional Application No. 62/264,752**, filed on **December 8, 2015**, and all the rights and privileges in said applications and under any and all Letters Patent that may be granted in the United States for said inventions. We also concurrently hereby sell, assign and transfer to CalTech the entire right, title and interest in and to any and all divisional, continuation, continuation-in-part, substitute, reissue, and/or reexamination applications claiming the benefit of said application and any and all Letters Patent that may issue therefrom.

We also concurrently hereby sell, assign and transfer to CalTech the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the patent applications aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

Because the application serial number and/or filing date of this application is not known at the time of the execution of this Assignment and Agreement, we authorize the duly-appointed attorneys of Kaplan Breyer Schwarz & Ottesen, LLP to insert the filing date and application serial number of this application in the above paragraph when known.

We authorize CalTech to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document, which may be required in any country in proof of the right of CalTech to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We hereby declare that we understand the definition of small entity as defined in 37 CFR 1.27 and in Title 13 of the Code of Federal Regulations, and we declare that the owner of this application is a small entity for the purposes of paying reduced fees to the United States Patent and Trademark Office. We further declare that we shall immediately notify, or cause to be notified, the USPTO when the owner of this application ceases to be a small entity for the purposes of paying reduced fees to the United States Patent and Trademark Office.

We hereby acknowledge that in the event of a conflict of interest between CalTech and us, the firm of Kaplan Breyer Schwarz & Ottesen, LLP is the attorney for CalTech and is not our attorney.

We request that any and all patents for said inventions be issued to CalTech in the United States and in all countries foreign to the United States, or to such nominees as CalTech may designate.

We agree that, when requested, we shall, without charge to CalTech but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.

 March 8, 2016

Axel Scherer and Date

Frank T. Hartley and Date