

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT4618327

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
PERIKLIS PANTAZIS	01/10/2008
YE PU	01/10/2008
DEMETRI PSALTIS	01/10/2008
JOHN H. HONG	02/04/2008
SCOTT E. FRASER	02/04/2008
RECEIVING PARTY DATA	
Name:	CALIFORNIA INSTITUTE OF TECHNOLOGY
Street Address:	1200 E. CALIFORNIA BOULEVARD
Internal Address:	M/C 6-32
City:	PASADENA
State/Country:	CALIFORNIA
Postal Code:	91125
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	15332989
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>	
Phone:	9498520000
Email:	pair@kppb.com
Correspondent Name:	KPPB LLP
Address Line 1:	2400 E. KATELLA AVE
Address Line 2:	SUITE 1050
Address Line 4:	ANAHEIM, CALIFORNIA 92806
ATTORNEY DOCKET NUMBER:	C9-00618.DIV
NAME OF SUBMITTER:	AGNES POON
SIGNATURE:	/Agnes Poon/
DATE SIGNED:	09/28/2017

Total Attachments: 11

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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)

Periklis Pantazis; Ye Pu; Demetri Psaltis; John H. Hong;
Scott E. Fraser

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

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

Execution Date(s) Jan 10, 2008; Jan 10, 2008; Jan 10, 2008
Feb 4, 2008; Feb 4, 2008

- ☒ 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: M/C 6-32

Street Address: 1200 E. 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)

15/332,989

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: C9-00618.DIV

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 50-4407

Authorized User Name _____

9. Signature:

/John W. Peck/

Signature

09/28/2017

Date

John W. Peck

Name of Person Signing

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

11

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, Periklis Pantazis, Ye Pu, Demetri Psaltis, John H. Hong and Scott E. Fraser made certain new and useful inventions and improvements for which an application for Letters Patent of the United States entitled SECOND HARMONIC IMAGING NANOPROBES AND TECHNIQUES FOR USE THEREOF filed November 21, 2007 and having been assigned Application No. 11/944,264;

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 201-85, 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, I 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 I 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, I do hereby agree that I and my 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 me 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, I 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.

P.P.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 10th day of January,
~~2007~~ 2008



Periklis Pantazis

411 S. Madison Avenue, Apt. 203
Pasadena, CA 91101

STATE OF _____)
COUNTY OF _____)

On _____, before me _____, Notary Public,
personally appeared Periklis Pantazis personally known to me (or proved to me on the
basis of satisfactory evidence) to be the person whose name is subscribed to the within
instrument and acknowledged to me that he executed the same in his authorized
capacity, and that by his signature on the instrument the person, or the entity upon
behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Signature of Notary

See attached 2008
California Notarial Wordling

Pw
1/10/08

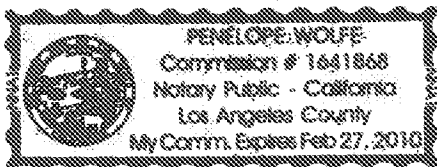
CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of Los Angeles }

On January 10, 2008 before me, Penelope Wolfe, Notary Public
Date Here Insert Name and Title of the Officer

personally appeared Periklis Pantazis
Name(s) of Signer(s)



who proved to me on the basis of satisfactory evidence to be the person~~(s)~~ whose name~~(s)~~ is 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 Penelope Wolfe
Signature of Notary Public

Place Notary Seal Above

OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

Description of Attached Document

Title or Type of Document: Assignment

Document Date: _____ Number of Pages: _____

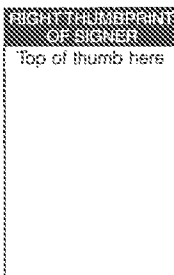
Signer(s) Other Than Named Above: _____

Capacity(ies) Claimed by Signer(s)

Signer's Name: _____

- ☐ Individual
☐ Corporate Officer — Title(s): _____
☐ Partner — ☐ Limited ☐ General
☐ Attorney in Fact
☐ Trustee
☐ Guardian or Conservator
☐ Other: _____

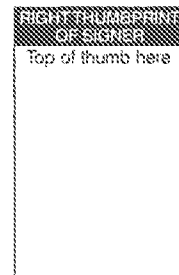
Signer Is Representing: _____



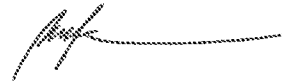
Signer's Name: _____

- ☐ Individual
☐ Corporate Officer — Title(s): _____
☐ Partner — ☐ Limited ☐ General
☐ Attorney in Fact
☐ Trustee
☐ Guardian or Conservator
☐ Other: _____

Signer Is Representing: _____



IN TESTIMONY WHEREOF, I have hereunto set my hand this 10th day of JAN.,
2008.



Ye Pu
101 N. Sierra Bonita Ave., Apt. 8
Pasadena, CA 91106

STATE OF)
COUNTY OF)

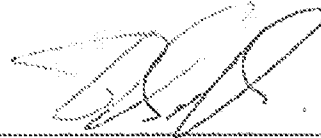
On _____, before me _____, Notary Public,
personally appeared Ye Pu personally known to me (or proved to me on the basis of
satisfactory evidence) to be the person whose name is subscribed to the within
instrument and acknowledged to me that he executed the same in his authorized
capacity, and that by his signature on the instrument the person, or the entity upon
behalf of which the person 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 of Notary

IN TESTIMONY WHEREOF, I have hereunto set my hand this 10th day of Jan,
2008.



Demetri Psaltis
~~1075 West Road~~ Ch. de Bochat 9
~~Pasadena, CA 91107~~ 1025 St-Sulpice

STATE OF)
COUNTY OF)

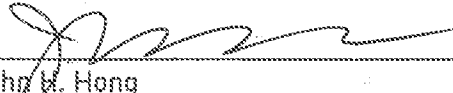
On _____, before me _____, Notary Public,
personally appeared Demetri Psaltis personally known to me (or proved to me on the
basis of satisfactory evidence) to be the person whose name is subscribed to the within
instrument and acknowledged to me that he executed the same in his authorized
capacity, and that by his signature on the instrument the person, or the entity upon
behalf of which the person 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 of Notary

IN TESTIMONY WHEREOF, I have hereunto set my hand this 4th day of February, 2008.


John H. Hong

1655 4665 Dunham Circle
Thousand Oaks, CA 91360 

STATE OF California
COUNTY OF Los Angeles

On February 4, 2008, before me Penelope Wolfe, Notary Public, personally appeared John H. Hong personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person 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 of Notary

*PW 2/4/08
See attached new
2008 California
Notarial Wording*

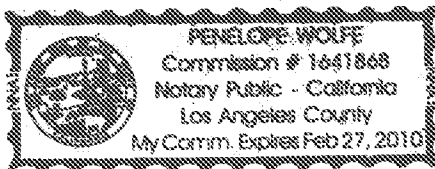
CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of Los Angeles

On February 4, 2008 before me, Penelope Wolfe, Notary Public

personally appeared John H. Hong



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 Penelope Wolfe

Place Notary Seal Above

OPTIONAL

Though the information below is not required by law, it may prove valuable to persons relying on the document and could prevent fraudulent removal and reattachment of this form to another document.

Description of Attached Document

Title or Type of Document: _____

Document Date: _____ Number of Pages: _____

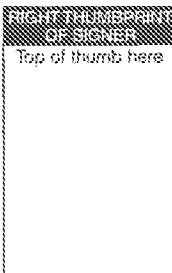
Signer(s) Other Than Named Above: _____

Capacity(ies) Claimed by Signer(s)

Signer's Name: _____

- ☐ Individual
- ☐ Corporate Officer — Title(s): _____
- ☐ Partner — ☐ Limited ☐ General
- ☐ Attorney in Fact
- ☐ Trustee
- ☐ Guardian or Conservator
- ☐ Other: _____

Signer Is Representing: _____



Signer's Name: _____

- ☐ Individual
- ☐ Corporate Officer — Title(s): _____
- ☐ Partner — ☐ Limited ☐ General
- ☐ Attorney in Fact
- ☐ Trustee
- ☐ Guardian or Conservator
- ☐ Other: _____

Signer Is Representing: _____



IN TESTIMONY WHEREOF, I have hereunto set my hand this 4 day of February, 2008



Scott E. Fraser
503 Dartmouth Pl.
LaCanada, CA 91011

STATE OF _____)
COUNTY OF _____)

On _____, before me _____, Notary Public, personally appeared Scott E. Fraser personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

PW 2/4/08

See attached

new 2008

California Notarial wording

Signature of Notary

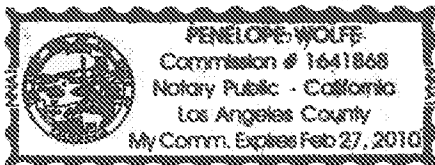
CALIFORNIA ALL-PURPOSE ACKNOWLEDGMENT

State of California

County of Los Angeles

On February 4, 2008 before me, Penelope Wolfe, Notary Public

personally appeared Scott. E. Fraser



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

Penelope Wolfe
Signature of Notary Public

Place Notary Seal Above

OPTIONAL

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Document Date: _____ Number of Pages: _____

Signer(s) Other Than Named Above: _____

Capacity(ies) Claimed by Signer(s)

Signer's Name: _____

- ☐ Individual
☐ Corporate Officer --- Title(s): _____
☐ Partner --- ☐ Limited ☐ General
☐ Attorney in Fact
☐ Trustee
☐ Guardian or Conservator
☐ Other: _____

Signer Is Representing: _____

RIGHT THUMBPRINT
OF SIGNER
Top of thumb here

Signer's Name: _____

- ☐ Individual
☐ Corporate Officer --- Title(s): _____
☐ Partner --- ☐ Limited ☐ General
☐ Attorney in Fact
☐ Trustee
☐ Guardian or Conservator
☐ Other: _____

Signer Is Representing: _____

RIGHT THUMBPRINT
OF SIGNER
Top of thumb here