

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT5699420

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
DOUGLAS C. HOFMANN	08/23/2019
ANDRE M. PATE	06/05/2019
RECEIVING PARTY DATA	
Name:	CALIFORNIA INSTITUTE OF TECHNOLOGY
Street Address:	1200 E. CALIFORNIA BLVD.
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City:	PASADENA
State/Country:	CALIFORNIA
Postal Code:	91125
PROPERTY NUMBERS Total: 3	
Property Type	Number
Application Number:	62469997
Application Number:	15918831
PCT Number:	US2018022020
CORRESPONDENCE DATA	
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Address Line 4:	ANAHEIM, CALIFORNIA 92806
ATTORNEY DOCKET NUMBER:	C9-05472.PRO.US.PCT
NAME OF SUBMITTER:	AGNES POON
SIGNATURE:	/Agnes Poon/
DATE SIGNED:	09/03/2019
Total Attachments: 5	

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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)

Douglas C. Hofmann; Andre M. Pate

2. Name and address of receiving party(ies)

Name: California Institute of Technology

Internal Address: M/C 6-32

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

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

Execution Date(s) 08/23/2019; 06/05/2019

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Joint Research Agreement

☐ Government Interest Assignment

☐ Executive Order 9424, Confirmatory License

☐ Other _____

Street Address: 1200 E. California Blvd.

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)

62/469997

15/918831

PCT/US2018/022020

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: KPPB LLP

Internal Address: Suite 300

Street Address: 2190 S. Towne Centre Place

City: Anaheim

State: CA Zip: 92806

Phone Number: 949.852.0000

Docket Number: C9-05472.PRO/US/PCT

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 UserName _____

9. Signature: /John W. Peck/

09/03/2019

Signature

Date

John W. Peck

Name of Person Signing

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

5

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

PATENT

REEL: 050253 FRAME: 0029

ASSIGNMENT AGREEMENT

WHEREAS, I/We, Douglas C. Hofmann and Andre M. Pate (**Assignor(s)**), have made certain new and useful inventions, improvements and/or designs set forth in an application for Letters Patent entitled Low Cost Method for Fabricating Strain Wave Gear Flexsplines Using Metal Additive Manufacturing, filed on March 10, 2017 and having been assigned Application No. 62/469,997; in an application for Letters Patent entitled Methods for Fabricating Strain Wave Gear Flexsplines Using Metal Additive Manufacturing, filed on March 12, 2018 and having been assigned Application No. PCT/US2018/022020; and in an application for Letters Patent entitled Methods for Fabricating Strain Wave Gear Flexsplines Using Metal Additive Manufacturing, filed on March 12, 2018 and having been assigned Application No. 15/918,831 (**Assigned Patent Applications**);

WHEREAS, California Institute of Technology, a California corporation, having a place of business at 1200 E. California Blvd., M/C 6-32, Pasadena, California 91125 (**Assignee**), is desirous of acquiring the entire right, title and interest in and to said inventions, improvements, and/or designs and in and to any and all Letters Patent of the United States and foreign countries which may be obtained therefore;

NOW, THEREFORE, **Assignor(s)** and **Assignee** do hereby enter into the following Assignment Agreement.

1. Definitions

The **Assigned Patent Rights** means certain new and useful inventions, improvements, and designs made by the **Assignor(s)** for which the **Assigned Patent Applications** have been filed.

The **Assigned Patent Rights** also includes:

- the **Assigned Patent Applications**;
- all Letters Patent granted based upon an application for Letters Patent forming part of the **Assigned Patent Rights**;
- any inventions, improvements, and designs disclosed by an application for Letters Patent forming part of the **Assigned Patent Rights**;
- any provisional patent application to which priority is claimed under 35 U.S.C. § 119(e) by an application for Letters Patent forming part of the **Assigned Patent Rights** that has not previously been assigned by the **Assignors**;
- all divisional applications, continuation applications, continuation-in-part applications, and design patent applications claiming priority to an application for Letters Patent forming part of the **Assigned Patent Rights**, as well as any conversions, revival and prologations of an application for Letters Patent forming part of the **Assigned Patent Rights**;

- the authority to prosecute/initiate any reissue, reexamination, renewal or extension of the Assigned Patent Application or of any Letters Patent granted based upon an application for Letters Patent forming part of the **Assigned Patent Rights**;
- any substitute application filed based upon an application for Letters Patent forming part of the **Assigned Patent Rights**;
- any priority rights associated with an application for Letters Patent forming part of the **Assigned Patent Rights**, including priority under International Agreements, Treaties and Conventions for the protection of intellectual property in its various forms and all applications in which a right of priority is claimed and any Letters Patent, Design Patent, Utility Model, or equivalent granted therefrom;
- any legal equivalents of priority rights associated with an application for Letters Patent forming part of the **Assigned Patent Rights**, including priority under International Agreements, Treaties and Conventions for the protection of intellectual property in its various forms and all applications in which a right of priority is claimed and any Letters Patent, Design Patent, Utility Model, or equivalent granted therefrom; and
- any right to sue for infringement of any right arising from the filing of an application for Letters Patent forming part of the **Assigned Patent Rights**.

2. Assignment of the Assigned Patent Rights

For good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, **Assignor(s)** have and/or do hereby sell, assign, and transfer to **Assignee**, its successors and assigns, all right, title, and interest for the United States and its territorial possessions and in all foreign countries in and to the **Assigned Patent Rights**.

3. Cooperation Agreement

The **Assignor(s)** further agree without further or additional consideration, but at the expense of **Assignee**, to:

- promptly provide **Assignee**, upon request, with all pertinent facts and documents relating to the **Assigned Patent Rights**;
- cooperate with **Assignee** in the protection and prosecution of the **Assigned Patent Rights**;
- testify with respect to all pertinent facts and documents relating to the **Assigned Patent Rights** in any interference, post grant review, inter partes review, litigation, or proceeding relating thereto;
- review, execute, verify, acknowledge and deliver to **Assignee** or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue, or enforce the **Assigned Patent Rights**; and

- perform such other acts as Assignee lawfully may request to obtain or maintain the **Assigned Patent Rights**, or to vest title thereto in said Assignee.

4. Assignors Representations

The **Assignor(s)** hereby represent and warrant that they have not entered, and will not enter, into any assignment, license agreement, sale agreement, or encumbrance that conflicts with the assignment of the **Assigned Patent Rights**.


5. Authorization to issue patents in name of Assignee

The **Assignor(s)** and **Assignee** hereby confirm that the assignment to the **Assignee** of the **Assigned Patent Rights** includes authorization by the **Assignor(s)** for the United States Commissioner of Patents and Trademarks, and officials of any other country whose duty it is to issue patents on applications, to issue any Letters Patent arising from the **Assigned Patent Rights** to the **Assignee**, its successors, or assigns.

Assignor(s) grants the attorney of record the power to insert on this **Assignment** any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

This **Assignment** may be executed in one or more counterparts, each of which shall be deemed an original and all of which may be taken together as one and the same **Assignment**.

IN TESTIMONY WHEREOF, I, Douglas C. Hofmann, hereunto set my hand this 23 day of August, 2019.



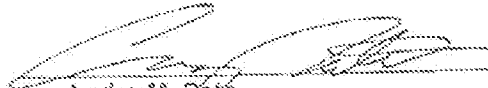
Douglas C. Hofmann
1200 E. California Blvd., M/C 6-32
Pasadena, CA 91125

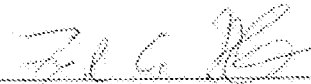


Witnessed:

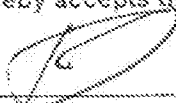
C9-05472.PRO/US/PCT

IN TESTIMONY WHEREOF, I, Andre M. Pate, hereunto set my hand this 5 day of
June, 2018.


Andre M. Pate
1200 E. California Blvd., M/C 6-32
Pasadena, CA 91125


Witnessed:

Assignee hereby accepts this Assignment:


Name Fredric Farina

Chief Innovation Officer,
Executive Director,
Office of Technology

Title

AUG 28 2019

Date