

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT5721286

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
PARHAM NOORZAD	08/08/2019
MICHELLE EFFROS	08/14/2019
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:	15984161
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:	2190 S. TOWNE CENTRE PLACE
Address Line 2:	SUITE 300
Address Line 4:	ANAHEIM, CALIFORNIA 92806
ATTORNEY DOCKET NUMBER:	C9-05202
NAME OF SUBMITTER:	MELISSA YEE
SIGNATURE:	/Melissa Yee/
DATE SIGNED:	09/16/2019
Total Attachments: 9	
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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)

Parham Noorzad; Michelle Effros

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

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

Execution Date(s) 08/08/2019; 08/14/2019

- ☒ 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)

15/984161

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: C9-05202

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: / Christian S. Hans /

September 16, 2019

Signature

Date

Christian S. Hans

Name of Person Signing

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

9

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: 050393 FRAME: 0124

ASSIGNMENT AGREEMENT

WHEREAS, I/We, Parham Noorzad and Michelle Effros (**Assignor(s)**) have made certain new and useful inventions, improvement and/or designs set forth in an application for Letters Patent of the United States entitled Systems and Methods for Transmitting Data Using Encoder Cooperation in the Presence of State Information, filed on May 18, 2018 and having been assigned Application No. 15/984,161 (**Assigned Patent Application**);

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

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 Application** has been or will be filed.

The **Assigned Patent Rights** also includes:

- the **Assigned Patent Application**;
- 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** and any conversion under 37 C.F.R. 1.53(c)(2) or (3) that has not previously been assigned by the **Assignor(s)**;
- all divisionals, continuations, continuations-in-part, and any design patent application claiming priority to an application for Letters Patent forming part of the **Assigned Patent Rights**;
- any revival, reissue, reexamination, renewal or extension of 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)** confirm that they have and/or otherwise do hereby sell, assign, and transfer to **Assignee**, and the successors, and assigns of the **Assignee** all right, title, and interest in and to the **Assigned Patent Rights** for the United States and its territorial possessions and in all foreign countries.

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**, including, but not limited to, copies of any documents evidencing conception and/or reduction to practice within **Assignor(s)**' possession;
- 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**.

4. Assignor(s) Representations

The **Assignor(s)** hereby represent and warrant that they have not entered 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

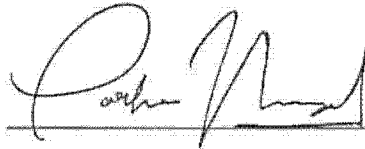
The **Assignor(s)** and **Assignee** hereby confirm that the assignment to the **Assignee** of all rights in the **Assigned Patent Rights** includes authorization by the **Assignor(s)** for the United States Commissioner of Patents and Trademarks, and officials of any other country whose duty it is to 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**.

C9-05202

IN TESTIMONY WHEREOF, I, Parham Noorzad, hereunto set my hand this 8th day
of August, 2019.



Parham Noorzad
3535 Lebon Drive, Apt. 4319
San Diego CA 92122

Witnessed by:

IN TESTIMONY WHEREOF, I, Michelle Effros, hereunto set my hand this _____ day of
_____, 20____.

Michelle Effros
564 S. Berkeley Ave.
San Marino, CA 91108

Witnessed by:

Assignee hereby accepts this Assignment:

Chief Innovation Officer,
Executive Director,
Office of Technology Transfer



Name: Frederic Farina

Title

8/20/2019
Date

ASSIGNMENT AGREEMENT

WHEREAS, I/We, Parham Noorzad and Michelle Effros (**Assignor(s)**) have made certain new and useful inventions, improvement and/or designs set forth in an application for Letters Patent of the United States entitled Systems and Methods for Transmitting Data Using Encoder Cooperation in the Presence of State Information, filed on May 18, 2018 and having been assigned Application No. 15/984,161 (**Assigned Patent Application**);

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- 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;
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3. Cooperation Agreement

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

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- 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;

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5. Authorization to issue patents in name of Assignee

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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.

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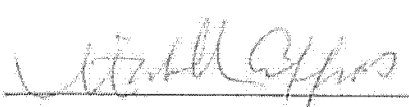
C9-05202

IN TESTIMONY WHEREOF, I, Parham Noorzad, hereunto set my hand this _____ day
of _____, 20____.

Parham Noorzad
3535 Lebon Drive, Apt. 4319
San Diego CA 92122

Witnessed by:

IN TESTIMONY WHEREOF, I, Michelle Effros, hereunto set my hand this 14 day of
August, 2019.



Michelle Effros
564 S. Berkeley Ave.
San Marino, CA 91108

Witnessed by:

Assignee hereby accepts this Assignment:

Chief Innovation Officer,
Executive Director,
Office of Technology Transfer


Name: Frederic Farina

Title

8/20/19
Date