# PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1 Stylesheet Version v1.2 EPAS ID: PAT7053818

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT

#### **CONVEYING PARTY DATA**

Name	Execution Date
DAVID NEEDELL	10/02/2020
HARRY A. ATWATER	12/02/2021
HALEY BAUSER	11/03/2021
OGNJEN ILIC	05/03/2021
COLTON BUKOWSKY	11/17/2021
SUNITA DARBE	11/19/2021

#### **RECEIVING PARTY DATA**

Name:	CALIFORNIA INSTITUTE OF TECHNOLOGY
Street Address:	1200 E CALIFORNIA BLVD.
Internal Address:	M/C 6-32
City:	PASADENA
State/Country:	CALIFORNIA
Postal Code:	91125

#### **PROPERTY NUMBERS Total: 1**

Property Type	Number
Application Number:	16113844

#### **CORRESPONDENCE DATA**

**Fax Number:** (949)852-0004

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.

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: C9-05774

NAME OF SUBMITTER: AGNES POON

SIGNATURE: /Agnes Poon/
DATE SIGNED: 12/02/2021

# **Total Attachments: 43** source=05774assgncaltech#page1.tif source=05774assgncaltech#page2.tif source=05774assgncaltech#page3.tif source=05774assgncaltech#page4.tif source=05774assgncaltech#page5.tif source=05774assgncaltech#page6.tif source=05774assgncaltech#page7.tif source=05774assgncaltech#page8.tif source=05774assgncaltech#page9.tif source=05774assgncaltech#page10.tif source=05774assgncaltech#page11.tif source=05774assgncaltech#page12.tif source=05774assgncaltech#page13.tif source=05774assgncaltech#page14.tif source=05774assgncaltech#page15.tif source=05774assgncaltech#page16.tif source=05774assgncaltech#page17.tif source=05774assgncaltech#page18.tif source=05774assgncaltech#page19.tif source=05774assgncaltech#page20.tif source=05774assgncaltech#page21.tif source=05774assgncaltech#page22.tif source=05774assgncaltech#page23.tif source=05774assgncaltech#page24.tif source=05774assgncaltech#page25.tif source=05774assgncaltech#page26.tif source=05774assgncaltech#page27.tif source=05774assgncaltech#page28.tif source=05774assgncaltech#page29.tif source=05774assgncaltech#page30.tif source=05774assgncaltech#page31.tif source=05774assgncaltech#page32.tif source=05774assgncaltech#page33.tif source=05774assgncaltech#page34.tif source=05774assgncaltech#page35.tif source=05774assgncaltech#page36.tif source=05774assgncaltech#page37.tif source=05774assgncaltech#page38.tif source=05774assgncaltech#page39.tif source=05774assgncaltech#page40.tif source=05774assgncaltech#page41.tif source=05774assgncaltech#page42.tif source=05774assgncaltech#page43.tif

RECORDATION FO	ORM COVER SHEET
PATENT	S ONLY
To the Director of the U.S. Patent and Trademark Office: Pleas	e record the attached documents or the new address(es) below.
1. Name of conveying party(ies) David Needell; Harry A. Atwater; Haley Bauser; Ognjen Ilic; Colton Bukowsky; Sunita Darbe	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) 10/02/2020, 12/02/2021, 11/03/2021, 05/03/2021, 11/17/2021; 11/19/2021	Street Address: 1200 E. California Blvd.
Assignment	City: Pasadena  State: CA  Country: US  Zip: 91125
Executive Order 9424, Confirmatory License  Other	Country: US Zip: 91125  Additional name(s) & address(es) attached? Yes
A. Patent Application No.(s)  16/113844  Additional numbers att	B. Patent No.(s)
5. Name and address to whom correspondence concerning document should be mailed:	6. Total number of applications and patents involved: 1
Name: KPPB LLP Internal Address: Suite 300	7. Total fee (37 CFR 1.21(h) & 3.41) \$
Street Address: 2190 S. Towne Centre Place	Authorized to be charged to deposit account Enclosed None required (government interest not affecting title)
City: Anaheim	8. Payment Information
State: CA Zip: 92806	
Phone Number: 949.852.0000	Deposit Account Number
Docket Number: C9-05774	
Email Address: pair@kppb.com	Authorized UserName
9. Signature: /Yingxin Deng/	December 2, 2021
Signature Yingxin Deng	Total number of pages including cover sheet attachments and documents:
•	sheet, attachments, and documents:  t) should be faxed to (571) 273-0140, or mailed to: f the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

PATENT

**REEL: 058299 FRAME: 0123** 

WHEREAS, I/We, David Needell, Harry A. Atwater, Haley Bauser, Ognjen Ilic, Colton Bukowsky, and Sunita Darbe (**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 Luminescent Solar Concentrators and Related Methods of Manufacturing, filed on August 27, 2018 and having been assigned Application No. 16/113,844 (**Assigned Patent Application**);

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, 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:

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   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;
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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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- 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

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- 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;
- review, execute, verify, acknowledge and deliver to Assignee or its legal representative any and all papers, instruments or affidavits required to apply for,

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 perform such other acts as Assignee lawfully may request to obtain or maintain the Assigned Patent Rights.

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C9-05774	
IN TESTIMONY WHEREOF, I, David Neede	all, hereunto set my hand this _2_ day of
	David Needell 671 E. Washington Blvd., Apt 103 Pasadena, CA 91104
	Witnessed by: VKINS WARM
IN TESTIMONY WHEREOF, I, Harry A. Atw of, 20	ater, hereunto set my hand this day
	Harry A. Atwater 1945 Leman Street South Pasadena, CA 91030
· · · · · · · · · · · · · · · · · · ·	Witnessed by:

IN TESTIMONY WHEREOF, I, Haley Bause	r, hereunto set my hand this	day of
	<b>Haley Bauser</b> 102 S. Sierra Madre Blvd., Unit 5 Pasadena, CA 91107	
	Witnessed by:	
IN TESTIMONY WHEREOF, I, Ognjen Ilic,, 20	hereunto set my hand this	day of
	<b>Ognjen Ilic</b> 195 S. Wilson Ave., Apt 3 Pasadena, CA 91106	
	Witnessed by:	

IN TESTIMONY WHEREOF, I, Colton Bukows of, 20	<b>sky</b> , hereunto set my hand this day
	Colton Bukowsky 252 S. Catalina Ave., Apt. A Pasadena, CA
	Witnessed by:
IN TESTIMONY WHEREOF, I, Sunita Darbe,, 20	hereunto set my hand this day of
	Sunita Darbe 85 S. Berkeley Ave. Pasadena, CA 91107
	Witnessed by:

/John	W. Peck/	Attorney Representative	12/2/2021
Name	John W. Peck	Title	Date

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	David Needell 671 E. Washington Blvd., Apt 103 Pasadena, CA 91104
	Witnessed by:
IN TESTIMONY WHEREOF, I, Harry A of December 2021.	A. <b>Atwater</b> , hereunto set my hand this <u>Zw.</u> day
	Thy A Atmitp
	Hakry A. Atwater 1945 Leman Street South Pasadena, CA 91030
	Witnessed by:

IN TESTIMONY WHEREOF, I, Haley Bause	er, hereunto set my hand this	day of
	<b>Haley Bauser</b> 102 S. Sierra Madre Blvd., Unit 5 Pasadena, CA 91107	
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	<b>Ognjen Ilic</b> 195 S. Wilson Ave., Apt 3 Pasadena, CA 91106	
	Witnessed by:	

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	Colton Bukowsky 252 S. Catalina Ave., Apt. A Pasadena, CA
	Witnessed by:
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	Witnessed by:

/John	W. Peck/	Attorney Representative	12/2/2021
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IN TESTIMONY WHEREOF, I, David N	Needell, hereunto set my hand this day of
	David Needell 671 E. Washington Blvd., Apt 103 Pasadena, CA 91104
	Witnessed by:
IN TESTIMONY WHEREOF, I, Harry A of, 20	<b>A. Atwater</b> , hereunto set my hand this day
	Harry A. Atwater 1945 Leman Street South Pasadena, CA 91030

IN TESTIMONY WHEREOF, I, Haley Baus November , 2021 .	ser, hereunto set my hand this 3rd day of
	Mybran
	Haley Bauser 102 S. Sierra Madre Blvd., Unit 5 Pasadena, CA 91107
	Michael Mazza
	Witnessed by:
IN TESTIMONY WHEREOF, I, Ognjen Ilid	<b>c</b> , hereunto set my hand this day of
	Ognjen Ilic 195 S. Wilson Ave., Apt 3 Pasadena, CA 91106
	Witnessed by:

	Witnessed by:
	Sunita Darbe 85 S. Berkeley Ave. Pasadena, CA 91107
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	Haley Bauser 102 S. Sierra Madre Blvd., Unit 5 Pasadena, CA 91107
	Witnessed by:
TESTIMONY WHEREOF, I, O	gnjen Ilic, hereunto set my hand this 3½ day of
	Ogmen Yk
	Ognjen Ilic 195 S. Wilson Ave., Apt 3 1003 5 m St. Se Pasadena, CA 91106 howen Aprils, HN St
	11 * 1
	Nicore Ilic Tholadlic

IN TESTIMONY WHEREOF, I, Colton Bukows of, 20	sky, hereunto set my hand this day
	Colton Bukowsky 252 S. Catalina Ave., Apt. A Pasadena, CA
	Witnessed by:
IN TESTIMONY WHEREOF, I, Sunita Darbe, , 20	hereunto set my hand this day of
	Sunita Darbe 85 S. Berkeley Ave. Pasadena, CA 91107
	Witnessed by:

/John	W. Peck/	Attorney Representative	12/2/2021
Name	John W. Peck	Title	Date

WHEREAS, I/We, David Needell, Harry A. Atwater, Haley Bauser, Ognjen Ilic, Colton Bukowsky, and Sunita Darbe (**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 Luminescent Solar Concentrators and Related Methods of Manufacturing, filed on August 27, 2018 and having been assigned Application No. 16/113,844 (**Assigned Patent Application**);

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, 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;
- 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**.

IN TESTIMONY WHEREOF, I, David Nee, 20	edell, hereunto set my hand this day of
	David Needell 671 E. Washington Blvd., Apt 103 Pasadena, CA 91104
	Witnessed by:
IN TESTIMONY WHEREOF, I, Harry A. A of, 20	<b>Atwater</b> , hereunto set my hand this day
	Harry A. Atwater 1945 Leman Street South Pasadena, CA 91030
	Witnessed by:

IN TESTIMONY WHEREOF, I, Haley Baus	ser, hereunto set my hand this	day of
	Haley Bauser 102 S. Sierra Madre Blvd., Unit 5 Pasadena, CA 91107	
	Witnessed by:	
IN TESTIMONY WHEREOF, I, Ognjen Ilio	<b>c</b> , hereunto set my hand this	day of
	Ognjen Ilic 195 S. Wilson Ave., Apt 3 Pasadena, CA 91106	
	Witnessed by:	

IN TESTIMONY WHEREOF, I, Colton Bukow of, 20_21	<b>rsky</b> , hereunto set my hand this <u>17</u> day
	Colton Bukowsky 252 S. Catalina Ave., Apt. A Pasadena, CA
	Witnessed by:
IN TESTIMONY WHEREOF, I, Sunita Darbe , 20	, hereunto set my hand this day of
	Sunita Darbe 85 S. Berkeley Ave. Pasadena, CA 91107
	Witnessed by:

/John	W. Peck/	Attorney Representative	12/2/2021
Name	John W. Peck	Title	Date

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- any substitute application filed based upon an application for Letters Patent forming part of the Assigned Patent Rights;
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	David Needell 671 E. Washington Blvd., Apt 103 Pasadena, CA 91104
	Witnessed by:
IN TESTIMONY WHEREOF, I, Harry A of, 20	<b>A. Atwater</b> , hereunto set my hand this day
	Harry A. Atwater 1945 Leman Street South Pasadena, CA 91030
	Witnessed by:

TESTIMONY WHEREOF, I, Haley Bause	er, hereunto set my hand this	day of
	<b>Haley Bauser</b> 102 S. Sierra Madre Blvd., Unit 5 Pasadena, CA 91107	
	Witnessed by:	
TESTIMONY WHEREOF, I, Ognjen Ilic	, hereunto set my hand this	day of
	<b>Ognjen Ilic</b> 195 S. Wilson Ave., Apt 3 Pasadena, CA 91106	
	Witnessed by:	

of, 20_	Colton Bukowsky, hereunto set my hand this day
	Colton Bukowsky 252 S. Catalina Ave., Apt. A Pasadena, CA
	Witnessed by:
I TESTIMONY WHEREOF, 1, November, 2021	Sunita Darbe, hereunto set my hand this <u>/</u> day o
I TESTIMONY WHEREOF, 1, <u>November</u> , 20 <u>21</u>	Sunita Darbe, hereunto set my hand this <u>19<sup>th</sup> day of</u>
I TESTIMONY WHEREOF, 1, NOVEMBER, 20,21	Sunita Darbe, hereunto set my hand this 19 <sup>th</sup> day of Sunita Darbe  85 S. Berkeley Ave. Pasadena, CA 91107
I TESTIMONY WHEREOF, 1, NOVEMBER, 20,21	Sunita Darbe 85 S. Berkeley Ave.
NOVEMBER, 2021	Sunita Darbe 85 S. Berkeley Ave.

/John W. Peck/		Attorney Representative	12/2/2021
Name Joh	n W. Peck	Title	Date