

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT7548936

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
	Name	Execution Date
	DOUGLAS C. HOFMANN	10/16/2019
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:	17405836
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:	C9-05649.CON	
NAME OF SUBMITTER:	AGNES POON	
SIGNATURE:	/Agnes Poon/	
DATE SIGNED:	09/20/2022	
Total Attachments: 4		
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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

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

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

Execution Date(s) 10/16/2019

- ☒ 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)

17/405836

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: C9-05649.CON

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/

09/20/2022

Signature

Date

John W. Peck

Name of Person Signing

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

4

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 AGREEMENT

WHEREAS, I/We, Douglas C. Hofmann (Assignor(s)), have made certain new and useful inventions, improvements and/or designs set forth in an application for Letters Patent entitled A Method for Creating High Toughness Metallic Glass-Based Composites Utilizing Additive Manufacturing, filed on June 2, 2017 and having been assigned Application No. 62/514,653; in an application for Letters Patent entitled High Toughness Metallic Glass-Based Composites for Additive Manufacturing, filed on June 4, 2018 and having been assigned Application No. PCT/US2018/035813; and in an application for Letters Patent entitled High Toughness Metallic Glass-Based Composites for Additive Manufacturing, filed on June 4, 2018 and having been assigned Application No. 15/996,913 (Assigned Patent Applications);

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, 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, in 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.

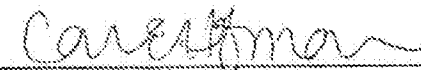
Assignor(s) grants the attorney of record the power to insert on this Assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

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 16 day October, 2019.

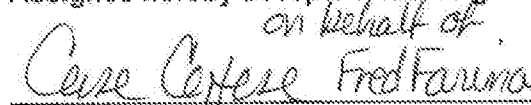


Douglas C. Hofmann
1763 N. Craig Avenue
Altadena, CA 91001



Witnessed:

Assignee hereby accepts this Assignment:

on behalf of


Name Frederic Farina

Chief Innovation Officer,
Executive Director,
Office of Technology

Title

NOV 27 2019

Date

Case Cortese, Ph.D
Director for Innovation, New Ventures & Entrepreneurship
Office of Technology Transfer & Corporate Partnerships