

CV for David Schaafsma

dschaafsma@calopten.com

Selected Expertise

- Medical product design / development
- Optics - geometric, diffractive, waveguide, optical technology, optical materials, optical systems design
- Networks, data links, protocols
- Fiber optics, optical sensors
- Lasers & light systems, illumination
- Infrared materials & technology
- Imaging & microscopy (SEM & optical), spectroscopy
- Signal and image processing, spectroscopic identification & pattern recognition
- Spectroscopy, optical materials analysis
- Embedded computer systems, microcontrollers
- Software & programming, Embedded & high level languages
- Electronics, embedded design
- Sensors, data acquisition
- Semiconductor metrology, photovoltaics, renewables
- Project planning, management
- ISO 9000, SPC, GMP
- Tooling, process development
- Market, patent research
- Grant writing
- Expert witness

Employment History

From: 2004 **California Optical Engineering, Inc.**
To: Present Escondido, CA
Position: *President & Principal*

Consulting in technology & product development (primarily medical and industrial), over 40 associates. Specialized in software and hardware (electronics, sensors, optics) development for medical devices, communications systems, and sensing. Recent projects have included:

- ophthalmic optical therapy devices
- fundus camera systems
- optical bilirubinemia measurements for neonates
- image-based and sequential (point) genetic assays (fluorescent)
- smartphone-compatible optical assay systems
- pulse oximetry, photoplethysmography, and optical blood pressure monitoring
- optical blood glucose monitoring
- optical flow cytometry
- confocal fluorescence microscopy
- optical markers of glucose concentration in the eye (lens and aqueous humor)
- optical pattern recognition for anti-counterfeit systems, development of optically-functional coatings
- ophthalmic thermal therapy devices
- design and validation of endoscopes/laryngoscopes
- design and construction of microscope systems for fluorescent assays
- laminar flow and lab-on-a-chip systems, colorimetric and fluorescent
- embedded systems for dosimetry & flow measurement
- in-vivo flow measurement for insulin dosimetry
- ECG/MCT monitors
- machine-vision flow control systems
- monitoring of optical ablation of arterial plaque
- design and experimentation for in-vivo optical probes
- machine vision for computer aided surgery
- colorimetric measurement of fluid concentration
- design of ophthalmic instruments for early detection of eye disease
- image processing for hyperthermia
- robotic automated animal marking systems
- polymer materials analysis & evaluation for angiography and angioplasty
- high-speed hybrid optical-electronic data networks
- materials for optical data storage media
- optical semiconductor metrology
- optical concentrators and luminaire design
- custom optical diffraction grating design

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- optical systems for packaging and tracking
- infrared optical imaging for cancer detection

Core specialty areas include electronics (sensors, embedded systems, optical data transport, eCAD, programmable logic/VHDL, ARM, AVR, FPGA, DSP), software (Linux/Windows, C/C++, Java, assembly, Python), and optics (systems level design to ray trace/non-sequential modeling using Zemax, Matlab).

From: 2006 **Computer Aided Surgery Associates**
To: 2009 La Mesa, CA
Position: *Vice President of Engineering*

Developed and demonstrated non-contact alignment system for prosthesis placement (navigation) during total knee arthroplasty (TKA). Image-guided system used dual-band stereoscopic camera system with image processing to analyze alignment and provide feedback to surgeons. Early sponsorship from leading orthopedic companies.

From: 2006 **California State University**
To: 2022 San Marcos, CA
Position: *Adjunct Professor of Applied Physics*

Teach and develop curriculum in electronics, optics, and physics. Oversee student research projects, initiate industry collaboration with university. Lead academician in embedded systems/electronics focus of Applied Physics program, and nascent Electrical Engineering program.

From: 1999 **Ipitek/Tetra Tech Data Systems**
To: 2004 Carlsbad, CA
Position *Director of Sensor Products*

Responsible for overall management and technical leadership of fiber optic sensor group (scientists, engineers, salespeople, and technicians):

- R&D, product management, engineering, business development, sales & marketing.
- Instrument electronic design: photoreceivers (e.g. low noise, high linearity and high speed), embedded processing (uC/PGA, DSP), interfacing (serial, Ethernet, some USB, displays, keypad, etc.), CPLD & FPGA (Xilinx) design.
- Redesigned temperature sensor product, improving performance & cost.
- Initiated supplier relationships with semiconductor, medical, automotive, aerospace customers.
- Designed, built, tested and sold instrumentation for semiconductor metrology, particularly wafer processing machinery, some deposition equipment.

CV for David Schaafsma

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- Designed, built, tested, and sold instrumentation for medical thermal therapy equipment, particularly hyper- and hypo-thermic methods.
- Software development: embedded processing (ARM, 8051, x86, eZ80), DSP (Analog/TI), scientific computing, numerical modeling.
- Conceived, initiated, & directed R&D and product development in thermal, acoustic, pressure, biological, chemical, and e-field sensors, as well as communications devices & systems.
- Other R&D projects: millimeter-wave links, DWDM/UDWDM networks, wavelength cross-connects, fiber optic switches, avionics networks, free space optical communications, laser tracking systems, optical beam steering, and secure communications. Over 30 patent disclosures & 2 patent applications.

From: 1996 **U.S. Naval Research Laboratory**
To: 1998 Washington, DC
Position: *Senior Scientist*

Developed devices & applications for chalcogenide (CG) fibers and integrated optics. Authored three patents, several publications resulting from research. R&D accomplishments: first chalcogenide SM fused coupler, first IR singlemode near-field optical microscope probe, first model of 1.3 um CG fiber amplifiers, made CG fiber Bragg gratings. Built electro-mechanical system for fiber tapering. Wrote optical amplifier modeling code in C using open source compiler (Windows platform). Other R&D areas: IR scene simulation, Raman amplifiers in CG, chemical sensors, microlensed fibers, photosensitive waveguides & photo-doping.

From: 1992 **National Institutes of Standards and Technology**
To: 1996 Boulder, CO
Position: *Research Associate*

R&D in quantum optics of vertical-cavity surface-emitting semiconductor lasers. Set up, instrumented, wrote code for, and maintained optical characterization laboratory. Provided primary optical characterization support for all structures grown in NIST MBE machine. Designed, modeled, characterized laser structures for MBE growth. Wrote code for multilayer dielectric modeling with complex index using Borland C++. Designed instrumentation and wrote instrument control software (in Borland C) for photon counting spectroscopy system (noise floor 4 photons). Other measurements: reflectance, photoluminescence, DCXRD, SEM, and X-ray. Other R&D accomplishments: quantum well interdiffusion, crosstalk in VCSEL arrays, angular and spectral dispersion of and spectral drift of the fundamental lasing mode in VCSELs.

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From: 1989 **Bandgap Technology Corporation**
To: 1992 Broomfield, CO
Position: *Senior Characterization Engineer*

Primary quality control officer for a start-up compound semiconductor manufacturing company. Designed & supervised construction of characterization laboratory with budget over \$2M. Developed and maintained characterization facilities (hardware, software, training, calibration, etc). Wrote numerous GUI instrument control & data acquisition applications for HP Unix workstations using XWidget & Athena toolkits. Primary technical interface to customers. Responsible for analysis and interpretation of all wafer test data. Set up and administered HP 9000 Unix cluster network for characterization and manufacturing. Trained and supervised technicians and engineers, implemented SPC. One of 4 lead engineers responsible for design and equipping of 2000 sq-ft Class 10 clean room. Techniques used: PL, photoreflectance, parametric testing, C-V profiling, Hall effect, resistivity/particulate screening, Nomarski microscopy, DCXRD, and RF device characterization.

Patents

<u>Patent</u> <u>Number</u>	<u>Date</u> <u>Issued</u>	<u>Title</u>
6,285,811	2001	Near-field optical microscope with infrared fiber probe
5,949,935	1999	Infrared optical fiber coupler

<u>Application</u> <u>Number</u>	<u>Date</u>	<u>Title</u>
US20060191566A1	2006	Solar concentrator system using photonic engineered materials
US20070246040A1	2006	Wide angle solar concentrator
US20060174867A1	2004	Nonimaging solar collector/concentrator
US20060233492A1	2006	Optical beam combiner/concentrator
US20080170826A1	2007	Misalignment-tolerant optical coupler/connector
WO2001027961A2	1998	Coated cathodoluminescent phosphors

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Education

<u>College/University</u>	<u>Degree</u>
University of Colorado, Boulder, CO	Ph.D., Physics
Brown University, Providence, RI	M.S., Physics
Whitman College, Walla Walla, WA	B.A., Physics

Publications / Presentations

1. "Comparison of analysis methods for fluorescence lifetime imaging," T. Hall, D.A. Dorroh, S.E. Robertson, and D.T. Schaafsma, SPIE BIOS/Photonics West, Paper #8227 (2012).
2. "Fiber pressure sensors based on periodical mode coupling effects," Haim Lotem, Wen C. Wang, Michael Wang, David Schaafsma, Bob Skolnick, and Haim Grebel, *Proc. SPIE* **5758**, 239 (2005).
3. "All-dielectric miniature wide-band RF receive antenna," Wen Wang, Weiping Lin, Hank Marshall, Bob Skolnick, and David Schaafsma, *Opt. Eng.* **43**, (2004).
4. "Electro-optic RF receive antenna," Wen C. Wang, Weiping Lin, Hank Marshall, David Schaafsma, and Richard Chaung, *SPIE Digital Wireless Communication V* **5100**, 149 - 156 (2003).
5. "Fiberoptic temperature sensors for medical applications," David Schaafsma, Gail Palmer, and James Bechtel, *Proc. SPIE*, (2003).
6. "Efficacy and Performance of Emissivity Cancellation Probes for Pyrometric Systems," M. Fisher and D. Schaafsma, *RTP 2000*, Baltimore, MD, Sept. 2000.
7. "Aircraft Fail-Safe Self-Monitoring System," Anthony C. Jackson and David T. Schaafsma, presented at *the 4th Joint DoD/FAA/NASA Conference on Aging Aircraft*, St. Louis, MO, May 2000.
8. "Chalcogenide fibers: an overview of applications," J.A. Moon and D.T. Schaafsma, *Fiber & Integrated Optics* **19**, June 2000.
9. "Comparison of conventional and gain-clamped semiconductor optical amplifiers for wavelength division multiplexed transmission systems," D.T. Schaafsma, E. Miles, and E.M. Bradley, *J. Lightwave Tech.* (July 2000).
10. "Fabrication of Singlemode Chalcogenide Fiber Probes for Scanning Near-Field Infrared Optical Microscopy," D.T. Schaafsma et al, *Opt. Eng.*, (August 1999).
11. "Cross-Gain Modulation and Frequency Conversion Crosstalk Effects in 1550-nm Gain-Clamped Semiconductor Optical Amplifiers," D.T. Schaafsma and E.M. Bradley, *Photon. Tech. Lett.* **11**, 727 (1999).
12. "Singlemode chalcogenide fiber infrared SNOM probes," D.T. Schaafsma, R. Mossadegh, J.S. Sanghera, I.D. Aggarwal, J.M. Gilligan, N.H. Tolk, M.

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- Luce, R. Generosi, P. Perfetti, A. Cricenti, and G. Margaritondo, *Ultramicroscopy* **77**, 77 (1999).
13. "First Experimental Results with the Free Electron Laser Coupled to a Scanning Near-Field Optical Microscope," A. Cricenti, R. Generosi, C. Barchesi, M. Luce, M. Rinaldi, C. Coluzza, P. Perfetti, G. Margaritondo, D.T. Schaafsma, I.D. Aggarwal, J.M. Gilligan, and N.H. Tolk, *Phys. Stat. Sol. A* **170**, 241 (1998).
 14. "Cation vacancy formation and migration in the AlGaAs heterostructure system," P. Mitev, S. Seshadri, L. J. Guido, D. T. Schaafsma, and D. H. Christensen, *Appl. Phys. Lett.* **73**, 3718 (1998).
 15. "Modeling of Dy³⁺-doped GeAsSe glass 1.3 μ m optical fiber amplifiers," D.T. Schaafsma, L.B. Shaw, B. Cole, J.S. Sanghera, and I.D. Aggarwal, *Photon. Tech. Lett.* **10**, 1548 (1998).
 16. "Chalcogenide optical fiber couplers for chemical sensing, telecommunications, and infrared lasers," D.T. Schaafsma, L.B. Shaw, L.E. Busse, J.S. Sanghera, and I.D. Aggarwal, CLEO 98, paper CThP4 (1998).
 17. "Dy³⁺-doped GeAsSe 1.3 μ m optical fiber amplifiers," L.B. Shaw, D.T. Schaafsma, B.J. Cole, P. Pureza, R. Mossadegh, V.Q. Nguyen, J.S. Sanghera, and I.D. Aggarwal, presented at CLEO '98.
 18. "Rare earth doped selenide glass optical sources," L.B. Shaw, B. Cole, D.T. Schaafsma, B.B. Harbison, J.S. Sanghera, and I.D. Aggarwal, presented at OFC '98.
 19. "Rare earth doped glass fibers as sources for IRSS," L.B. Shaw, D.T. Schaafsma, B.J. Cole, B.B. Harbison, J.S. Sanghera, and I.D. Aggarwal, presented at AeroSense '98.
 20. "Dy-doped selenide glass for 1.3 mm optical fiber amplifiers," L.B. Shaw, B.J. Cole, J.S. Sanghera, I.D. Aggarwal, and D.T. Schaafsma, presented at OFC '98.
 21. "Fabrication of Singlemode Chalcogenide Optical Fiber," R. Mossadegh, D.T. Schaafsma, J.S. Sanghera, V.Q. Nguyen, R.A. Miklos, and I.D. Aggarwal, *J. Lightwave Technol.* **16**, 214 (1997).
 22. "Fused taper infrared optical fiber couplers in chalcogenide glass," D.T. Schaafsma, J.A. Moon, J.S. Sanghera, and I.D. Aggarwal, *J. Lightwave Technol.* **15**, 214 (1997).
 23. "Mode splitting in vertical-cavity microlasers from side-emission measurements," D.T. Schaafsma and D.H. Christensen, CLEO 97, paper CWG4 (1997).
 24. "Evaluation of the IR transitions in rare-earth doped chalcogenide glasses," L.B. Shaw, D.T. Schaafsma, J.A. Moon, J.S. Sanghera, B.B. Harbison, and I.D. Aggarwal, CLEO 97, paper CWF48 (1997).
 25. "Cavity coupling in vertical-cavity semiconductor lasers," D.T. Schaafsma and D.H. Christensen, NIST Technical Note #5047 (1997).
 26. "Mode splitting in side emission from vertical-cavity surface-emitting lasers," D.T. Schaafsma and D.H. Christensen, *Phys. Rev.* **B 54**, 14618 (1996).

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27. "Cross-sectional microphotoluminescence and buried layer structures," D.H. Christensen and D.T. Schaafsma, 1995 OSA Annual Meeting, p.124, Portland, OR, Sept 10-15 (1995).
28. "Cross-sectional photoluminescence and its application to buried-layer semiconductor structures," D.T. Schaafsma and D.H. Christensen, *J. Appl. Phys.* **78**, 694 (1995).
29. "Vacancy diffusion and Al-Ga interdiffusion in quantum well heterostructures," S. Seshadri, P. Mitev, L.J. Guido, S. Smith, R.D. Burnham, D.T. Schaafsma, and D.H. Christensen, Proc. 21st Intl. Symp. On Compound Semiconductors, San Diego, CA (1994).
30. "Correlation of optical, X-ray, and electron microscopy measurements on semiconductor multilayer structures," D.H. Christensen, R.K. Hickernell, D.T. Schaafsma, J.G. Pellegrino, M.J. McCollum, and R.S. Rai, in *Spectroscopic Characterization Techniques for Semiconductor Technology V*, SPIE Proc. **2141**, 177 (1994).
31. "A self-consistent investigation of coupled vacancy and host-atom diffusion in AlGaAs:GaAs quantum well heterostructures," S. Seshadri, P. Mitev, L.J. Guido, D.T. Schaafsma, D.H. Christensen, M.J. McCollum, S. Smith, and R.D. Burnham, Electronic Materials Conference (1994).
32. "Measurement and simulation of photoluminescence spectra from vertical-cavity surface-emitting laser structures," D.T. Schaafsma, R.K. Hickernell, and D.H. Christensen, in *Quantum Well and Superlattice Physics V*, SPIE Proc. **2139**, 93 (1994).
33. "Comparative photoluminescence measurement and simulation of vertical-cavity semiconductor laser structures," D.T. Schaafsma, R.K. Hickernell, and D.H. Christensen, in *Growth, Processing, and Characterization of Semiconductor Heterostructures*, MRS Symp. Proc. **326**, 483 (1994).
34. "Rapid growth of thick, IC quality GaAs from a flowing solution," E.E. Crisman, C.B. Roberts, D.T. Schaafsma, and H.J. Gerritsen, Fall MRS Meeting, Boston, MA (1989).

Organizations/Affiliations

- Past Executive Editor, *Fiber & Integrated Optics* (peer-reviewed bi-monthly technical journal published by Taylor & Francis)
- Past Member of American Physical Society, Institute of Electrical & Electronics Engineers, Materials Research Society

Litigation/Expert Witness Experience

Cases: 33

Depositions: 13

Testimony in Court: 5 (3 ITC, 1 District, 1 Superior)

Start Date	Client/Case
5/25-8/25	Nixon-Peabody <i>Omni MedSci v. Samsung et al.</i> Wearable IR pulse oximeter.
2024-2025	Quinn Emmanuel Urquhart & Sullivan <i>Honeywell v. Scandit</i> Code scanner IPR case. Filed 2 IPR declarations. Settled 2025.
2024-present	Wilmer Hale <i>Beckman-Coulter v. Cytek Biosciences</i> Flow cytometry case. Declarations submitted for claim construction, PGR, infringement (upcoming Dec. 2025) Appeared at/supported Markman hearing Sept. 2025
2024-2025	Davis Grass Goldstein & Finlay <i>[confidential - not disclosed]</i> Personal injury involving cardiac monitors.
2024	Alston & Bird <i>[confidential - not disclosed]</i> Fiberoptics case. Settled Aug. 2024
2023-2024	Troutman-Pepper-Hamilton, LLP <i>3Shape v Medit</i> Dental scanners. Consulting and preparation for district court trial, 2 declarations filed. Deposed (2x) May 23-24, 2024.
2023-2025	Stoel Rives <i>Cimbria v. 3U Vision</i> IR scanner PGR matter.

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2023-present	Stearns & Kessler <i>[confidential - not disclosed]</i> Nitric oxide therapy IP case.
2023	Riman Law <i>[confidential - not disclosed]</i> Optical filters. Settled April 2023.
2022-2023	Ropes & Gray <i>[confidential - not disclosed]</i> Orthopedic surgery matter. Settled April 2023.
2022-2023	Latham & Watkins <i>[confidential - not disclosed]</i> Ophthalmic surgery IPR matter.
2022	Daniels & Tredennick PLLC <i>[confidential]</i> Patent prosecution malpractice case.
2022	Skiermont Derby, LLP <i>[confidential - not disclosed]</i> Ingestible camera infringement case. Settled 2022.
2022-2023	Perkins Coie, LLP <i>Sartorius v. Gator Bio</i> Biosensor infringement case. 3 declarations filed. Deposed May 2023. Testified at ITC Nov. 2023.
2020-2022	Troutman-Pepper-Hamilton, LLP <i>Align v. 3Shape</i> Consulting and preparation for district court trial Filed declaration in support of Markman hearing, IPR hearing, and 3 declarations in District Court. Settled Feb. 2022.
2018-2020	Buchanan, Ingersoll, & Rooney PC <i>Align v. 3Shape</i> Dental technology intellectual property case. IPR report consulting and preparation. Deposed Feb. 2020.
2018-2023	Crites Law Group <i>Morris v. Leica Biosystems</i>

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Consulting on personal injury case involving automated biopsy equipment.

Deposed April 2023. Settled May 2023

- 2019 Walkup, Melodia, Kelly & Schoenberger
Melville v. Boston Scientific
Consulting on personal injury case involving laser-based bronchoscopy.
- 2018-19 Pepper-Hamilton, LLP
Buchanan, Ingersoll, & Rooney PC
Align v. 3Shape
Dental technology intellectual property case.
Prepared expert validity report for ITC
Deposed July 2018.
Testified at ITC court, Washington, DC, Sept. 2018
Deposed August 2019
Testified at ITC court, Washington, DC, Oct. 2019
- 2018-19 Perkins Coie, LLP
Fontem v. RJ Reynolds
Nathan Kassebaum, Atty. Joe Hamilton, Ptr.
Prepared expert declaration for IPR (new filing).
Deposed March 2018.
- 2017 Stradley, Ronon, Stevens & Young, LLP
[confidential]
Prepared expert declaration for trade secret case, interviewed by arbitrating judge. Initial judgment for defendant.
- 2017 Perkins Coie, LLP
Fontem v. RJ Reynolds
Prepared expert declaration for IPR. Deposed June 2017.
- 2016/7 Latham & Watkins, LLP
Ikaria-Mallinckrodt v. Praxair
IP litigation for nitric oxide therapy. Prepared expert report.
Deposed Dec. 2016
Testified in federal court, Delaware, Mar. 2017
- 2015 Goodwin-Procter, LLP
Alere v. Family Health
Intellectual Property – Review of IPR filing for lateral flow assays and flow measurement.

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- 2015 Perkins-Coie, LLP
Lara Dueppen, Atty.
Fontem v. RJ Reynolds
Intellectual Property - Patent infringement analysis & report for e-cigarettes.
- 2012-2013 Molever-Conelly, LLP
Kim v. Zeiss
Product Liability - negligent product service resulting in loss of business.
Performed product testing, provided expert opinion (reports).
Deposed Jun. 2013,
Testified at trial Aug. 2013 (judgment for plaintiff).
- 2012 James R. Rogers
Bicknell v. West Hills Hospital
Personal Injury - product liability, testing of external pacemaker
Performed data analysis, product testing.
- 2012 Weiss & Moy, LLP
Pacific Bioscience Laboratories v. Nutraluxe
Intellectual Property - skin brushes
Performed data analysis, product testing, provided expert opinion.
- 2011 DLA Piper
CareFusion 303, Inc. v. Sigma International
Intellectual Property - infusion pump technology.
Performed product analysis and provided part of expert opinion.
- 2011-2013 Hogan-Lovells, LLP
Alere/Inverness v. Church & Dwight
Intellectual Property - pregnancy test device.
Performed product analysis and interpretation. Settled 2013.
- 2010 Scheuring, Zimmerman & Doyle, LLP
Fonti v. Wilmarth
Personal Injury - product liability, electrosurgical device
Performed data analysis, product testing, provided expert opinion.
- 2009 Peach-Weathers

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Franklin v. Ladies' Workout and Omron, Inc.

Personal Injury – body fat analyzer

Performed product analysis, testing, expert declaration.

2007-8

McKool-Smith

Medtronic USA, Inc. v. Boston Scientific, Scimed

Life Systems Inc., and Boston Scientific Scimed, Inc.

Patent Infringement – angioplasty balloon/stent catheters

Performed patent analysis, product testing, claim construction analysis, expert declaration and reports.

IP Development/Analysis

Date

Client

2021-2022

[Confidential]

Technology development for neonatal jaundice assay.

2019

[Confidential]

IP development for pediatric audio company.

2015

[Confidential]

Due diligence for acquisition of vascular therapy company.

2014

Convergent Dental, Inc.

IP review and analysis of possible renewed application of US20060233492 A1.

2014

Pacific Science & Engineering, Inc.

Patent/IP development for closed-loop spirometer.

2012-2014

Tearfilm, Inc.

Patent/IP development for dry-eye (keratoconjunctivitis sicca) therapy device.

2008

Karasic Law Group

Patent Issues – Personal biomonitor device (pulse, respiration)

Performed patent analysis, product viability analysis, product design.

2006-12

Freedom MediTech, LLC

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Patent, IP validation, technology development
Developed optical technology for ophthalmic glucose measurement

- 2006-9 Helixis, Inc. (now Illumina, Inc.)
Patent & IP development
Assisted with IP development for genetic assay system
- 2007-9 Therafuse, Inc.
IP development
Developed IP & prototypes for optical flow measurement device for drug delivery
- 2003 L-3 Communications
Due diligence - technology/IP analysis for corporate acquisition
- 2002 Boston Scientific, Inc.
Patent & IP development
Analyzed (customer) patent for thermal therapy system