

09-23-1998

FORM PTO-1595

1-31-92



100836936

1 SHEET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Assistant Commissioner for Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Khiem Ba Do and David F. Arnone

Additional name(s) of conveying party(ies) attached? [ ] Yes [X] No

3. Nature of conveyance:

[X] Assignment [ ] Merger  
 [ ] Security Agreement [ ] Change of Name  
 [ ] Other

Execution Date: September 3, 1997

2. Name and address of receiving party(ies):

Name: New Focus, Inc.

Street Address: 2630 Walsh Avenue

City: Santa Clara, CA 95051

Additional name(s) &amp; address(es) attached?

[ ] Yes [X] No

09-14-98

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s): **Filed herewith**

B. Patent No.(s):

09/152352

Additional numbers attached? [ ] Yes [X] No

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

Name: Paul Davis  
 Internal Address: 1117-1  
 Wilson Sonsini Goodrich & Rosati  
 650 Page Mill Road  
 Palo Alto, CA 94304-1050

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 3.41) ..... \$40.00  
 [ ] Enclosed  
 [X] Authorized to be charged to deposit account

8. Deposit account number: 23-2415  
 (Attorney Docket No.: 10629-728)

09/21/1998 JSHWBRZZ 00000078 232415 09152352  
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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Charles C. Cary, Reg. No. 36,764  
 Name of Person Signing

Signature

Date

Sept. 14 1998

Total number of pages including cover sheet, attachments and document: [3]

## ASSIGNMENT

WHEREAS, the undersigned,

DO, Khiem Ba  
1140 Timberpine Court  
Sunnyvale, CA 94086

ARNONE, David F.  
227 Diablo Avenue  
Mountain View, CA 94043

hereinafter termed "Inventors", have invented certain new and useful improvements in

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and have filed an application for a United States patent disclosing and identifying the above invention as filed herewith; and

WHEREAS, New Focus, Inc., a corporation of the State of California, having a place of business at 2630 Walsh Avenue, Santa Clara, CA 95051, (hereinafter termed "Assignee"), is desirous of acquiring the entire right, title and interest in and to said application and the invention disclosed therein, and in and to all embodiments of the invention, heretofore conceived, made or discovered jointly or severally by said Inventors (all collectively hereinafter termed "said invention"), and in and to any and all patents, inventor's certificates and other forms of protection (hereinafter termed "patents") thereon granted in the United States and foreign countries.

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by said Inventors to have been received in full from said Assignee:

1. Said Inventors do hereby sell, assign, transfer and convey unto said Assignee the entire right, title and interest (a) in and to said application and said invention; (b) in and to all rights to apply for foreign patents on said invention pursuant to the International Convention for the Protection of Industrial Property or otherwise; (c) in and to any and all applications filed and any and all patents granted on said invention in the United States or any foreign country, including each and every application filed and each and every patent granted on any application which is a divisional, substitution, continuation, or continuation-in-part of any of said applications; and (d) in and to each and every reissue or extensions of any of said patents.

2. Said Inventors hereby jointly and severally covenant and agree to cooperate with said Assignee to enable said Assignee to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said Inventors shall include prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said Assignee (a) for perfecting in said Assignee the right, title and interest herein conveyed; (b) for prosecuting any of said applications; (c) for filing and prosecuting substitute, divisional, continuing or additional applications covering said invention; (d) for filing and prosecuting applications for reissuance of any said patents; (e) for interference or other priority proceedings involving said invention; and (f) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation reissues and reexaminations, opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expense incurred by said Inventors in providing such cooperation shall be paid for by said Assignee.

3. The terms and covenants of this assignment shall inure to the benefit of said Assignee, its successors, assigns and other legal representatives, and shall be binding upon said Inventors, their respective heirs, legal representatives and assigns.

4. Said Inventors hereby jointly and severally warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF, said Inventors have executed and delivered this instrument to said Assignee as of the dates written below.

State of California )

County of Santa Clara )

On Sep 3<sup>rd</sup>, 1997, before me, Pareesh Africawala  
personally appeared Khiem Ba Do

☐ personally known to me or ☒ proved to me on the basis of satisfactory evidence, to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Pareesh Africawala 9/3/97  
(Notary Public)

Khiem Ba Do

9/3/97  
Date



State of California )

County of Santa Clara )

On Sep 3<sup>rd</sup>, 1997, before me, Pareesh Africawala  
personally appeared David F. Arnone

☐ personally known to me or ☒ proved to me on the basis of satisfactory evidence, to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Pareesh Africawala 9/3/97  
(Notary Public)

David F. Arnone

9/3/97  
Date

