

10-26-1998

Case Name: Li 2-2-9

10-14-98

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To the Honorable Commissioner of Patents and Trademarks. ... ne attached documents or copy thereof.

(1) Conveying Party(ies): Ming-Jun Li; Daiping Ma; David K. Smith

Title: HIGH PERFORMANCE SINGLE MODE WAVEGUIDE

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



(2) Receiving Party: Corning Incorporated  
Patent Dept.; SP-FR-02-12  
Corning, NY 14831

(3) Nature of conveyance: Assignment executed: 6/9/98; 5/28/98; 5/28/98

(4) Application number(s) and/or patent number(s) against which this assignment is to be recorded:

A. Patent Application No.(s): 08/  
Filing date:

09 173097

B. Patent No.(s):  
Filing date:

If this document is being filed together with a new application, this assignment is also to be recorded against said application, executed on 6/9/98; 5/28/98; 5/28/98.

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

Name: William J. Chervenak  
Reg. No. 38,407  
Corning Incorporated  
Patent Department  
SP-FR-02-12  
Corning, NY 14831  
Phone No.: (607) 974-3956

(6) Total Number of applications and/or patents involved: one

(7) Total Fee = \$40.00

- Enclosed (Check No. )
- Included with filing fee. Check No. \_\_\_\_\_
- Authorization given by Corning Incorporated to charge deposit account number 03-3325

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.

William J. Chervenak  
William J. Chervenak

14 Oct 1998  
Date

Total number of pages comprising cover sheet: three

10/26/1998 JWBTKLMS 00000055 03325 09173097

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FC:501

PATENT  
REEL: 9522 FRAME: 0742

**ASSIGNMENT**

FOR VALUE RECEIVED, WE, **Ming-Jun Li, Daiping Ma, and David K. Smith**, hereby sell, assign and transfer unto Corning Incorporated, a corporation organized and existing under the laws of the State of New York, having its principal place of business at Corning, New York, (hereinafter CORNING), as assignee, and unto its successors, assigns and legal representatives, the entire right, title and interest, for all countries, in and to certain inventions relating to a **HIGH PERFORMANCE SINGLE MODE WAVEGUIDE**, such inventions being generally described in an application for Letters Patent of the United States executed by us on the 9<sup>th</sup> day of June, 1998, the 28<sup>th</sup> day of May, 1998, and the 28<sup>th</sup> day of May, 1998, provisional patent application Serial No. 60/065,845 filed by us in the United States on November 17, 1997, and in any future patent applications claiming the benefit of the filing date of that application, and all the rights and privileges under any and all Letters Patents that may be granted therefore.

WE request that any and all patents for said inventions be issued to CORNING, its successors, assigns and legal representatives, or to such nominees as CORNING may designate.

WE agree that, when requested, we will, without charge to CORNING and at CORNING's expense, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient for securing and maintaining patents for said inventions in any and all countries and for vesting title thereto in CORNING, its successors, assigns and legal representatives or nominees.

WE authorize and empower CORNING, its successors, assigns and legal representatives or nominees, to invoke and claim for any application for patent or other form of protection for said inventions filed by it or them, the benefit of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for said Convention or entered as a supplement to, and to invoke and claim such right of priority without further written or oral authorization from us.

WE hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any assignment, consent to file or like document which may be required in any country for any purpose and more particularly in proof of the right of CORNING, or its successors, assigns and legal representatives or nominees to claim the aforesaid benefit of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it or entered as a supplement to it.

WE covenant with CORNING, its successors, assigns and legal representatives or nominees, that the rights and property herein conveyed are free and clear of any encumbrance, and that we have full right to convey the same as herein expressed.

Signed at Corning, N.Y., this

6/9

1998

Ming-Jun Li  
Ming-Jun Li

5/28

1998

Daiping Ma  
Daiping Ma

5/28/

1998

David K. Smith  
David K. Smith

State of New York)

: ss.

County of Steuben)

On the 9<sup>th</sup> day of June, 1998 before me personally came **Ming-Jun Li** known to be the persons described in and who executed the foregoing instrument, and acknowledged that they executed the same.

Patricia L. Friedmonds  
Notary Public

**PATRICIA L. FRIEDMONDS**  
Notary Public, State of New York  
No. 01FR5073515  
Qualified in Steuben County  
Commission Expires February 24, 1999

State of North Carolina)

: ss.

County of New Hanover)

On the 28 day of May, 1998 before me personally came **Daiping Ma** known to be the persons described in and who executed the foregoing instrument, and acknowledged that they executed the same.

Katherine H. Sneed  
Notary Public

State of North Carolina)

: ss.

County of New Hanover)

**MY COMMISSION EXPIRES 8/18/98**

On the 28 day of May, 1998 before me personally came **David K. Smith** known to be the persons described in and who executed the foregoing instrument, and acknowledged that they executed the same.

Katherine H. Sneed  
Notary Public

**MY COMMISSION EXPIRES 8/18/98**