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02-24-1999



100913189

Docket No.: 1235

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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

1. Name of conveying party(ies):

HNA Holdings, Inc.

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

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

Name: Corning Incorporated

Address: \_\_\_\_\_

City: Corning

State/Prov.: \_\_\_\_\_

Country: New York

ZIP: 14831

Additional name(s) & address(es)

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other \_\_\_\_\_

Execution Date: January 13, 1999

4. Application number(s) or registration numbers(s):

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

Patent Application No.

Filing date

B. Patent No.(s)

5,234,557

issued

8/10/93

5,053,168

issued

10/1/91

02/24/1999 DCOATES 00000060 5234557

01 FC:581  
02 FC:584

80.00 OP  
120.00 OP

Additional numbers

☐ Yes ☒ No

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

Name: Mr. Alfred L. Michaelson, Senior Vice President

Registration No. \_\_\_\_\_

Address: Corning Incorporated

City: Crning

State/Prov.: NY

Country: USA

ZIP: 14831

6. Total number of applications and patents involved:

2

7. Total fee (37 CFR 3.41):.....\$ 80.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

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.

Michael A. Caputo - Reg. No. 24,237

Name of Person Signing

Signature

10

Date

Total number of pages including cover sheet, attachments, and

PATENT

REEL: 9556 FRAME: 0503

## ASSIGNMENT

**WHEREAS**, HNA HOLDINGS, INC. (legal successor to Hoechst Celanese Corporation (**HNA**)), a corporation organized and existing under the laws of the State of Delaware, having its principal place of business at 30 Independence Boulevard, Warren, New Jersey 07059, USA, is the owner of United States Patent No. 5,234,557, issued August 10, 1993, entitled "NONLINEAR OPTICAL MEDIUM WITH A STABLE NONCENTROSYMMETRIC POLYMERIC STRUCTURE" and United States Patent No. 5,053,168, issued October 1, 1991, entitled "NONLINEAR OPTICAL MEDIUM WITH A STABLE NONCENTROSYMMETRIC POLYMERIC STRUCTURE"; and

**WHEREAS**, **HNA** has agreed to assign to CORNING INCORPORATED, Corning, New York 14831 (**CORNING**), said United States Patents, recorded March 4, 1991 under Reel Number 5633, Frame Number 0064 and April 14, 1988 under Reel Number 4898, Frame Number 0715, respectively.

**NOW, THEREFORE**, in consideration of One Dollar (\$1.00) and for other good and valuable consideration, **HNA** sells, assigns and transfers to **CORNING** and the successors, assigns and legal representatives of **CORNING** the entire right, title and interest in and to said Patents and any reissue or re-examination thereof and including all foreign members of the same family of patent applications as listed on Schedule A, including all rights to claim priority, in and to any and all improvements which are disclosed in the inventions.

**HNA** hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Assignment.

**HNA** further covenants that **CORNING** will, upon its request, be provided promptly with all pertinent facts and documents relating to said inventions and said Patents and legal equivalents as may be known and accessible to **HNA** and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to **CORNING** or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said inventions and said Patents and said equivalents thereof which may be necessary or desirable to carry out the purposes hereof.

**HNA** hereby authorizes **CORNING** to apply for and obtain the recordation of this Assignment. **HNA** agrees that it shall, without further consideration, promptly and duly cause to be performed such lawful acts and execution of any other documents as **CORNING** may reasonably request in order for **CORNING** to obtain the full benefits of this Assignment and to permit **CORNING** to be duly recorded in each office, bureau and tribunal in the appropriate jurisdiction as the registered owner or proprietor of the rights hereby assigned. Such instruments and documents shall include, without limitation, such patents, affidavits and other documents for filing in such jurisdictions as **CORNING** may from time to time reasonably request.

By these presents **CORNING** does hereby accept this Assignment and authorizes the recording thereof with the appropriate authorities aforesaid.

IN WITNESS WHEREOF, the parties have caused this Assignment to be executed by its proper officers thereunto duly authorized on January 13, 1999.

**HNA HOLDINGS, INC. (legal successor to  
HOECHST CELANESE CORPORATION)**

Assignor

By



Michael A. Caputo

Title

Assistant Secretary

State of New Jersey )

) ss.:

County of Union )

Before me, a Notary Public, in and for said County, personally appeared MICHAEL A. CAPUTO who acknowledged that he is the Assistant Secretary of HNA Holdings, Inc., the corporation which executed the foregoing instrument and who acknowledged he signed said instrument on behalf of said corporation by authority of its Board of Directors; and that said instrument is the free corporate act and deed of HNA Holdings, Inc.

Sworn before me at Summit, New Jersey this 13<sup>th</sup> day of January 1999.



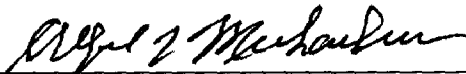
Notary Public

**CAROL R. MADDALONE**  
**NOTARY PUBLIC OF NEW JERSEY**  
**MY COMMISSION EXPIRES MAY 12, 2000**

**CORNING INCORPORATED**

Assignee

By



Alfred E. Michaelsen

Title

Senior Vice President

SCHEDULE A

HNA Holdings, Inc./ Patent Applications

<u>Application No.</u>	<u>Country</u>
596,581	Canada
94290/1989	Japan

State of Delaware  
Office of the Secretary of State

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE RESTATED CERTIFICATE OF "HOECHST CELANESE CORPORATION", CHANGING ITS NAME FROM "HOECHST CELANESE CORPORATION" TO "HNA HOLDINGS, INC.", FILED IN THIS OFFICE ON THE SECOND DAY OF JANUARY, A.D. 1998, AT 8:30 O'CLOCK A.M.

2/15/99  
I hereby certify  
this to be a true  
copy of the original

CAROL R. MADDALONI  
NOTARY PUBLIC OF NEW JERSEY  
MY COMMISSION EXPIRES MAY 19, 2003



*Edward J. Freel*

Edward J. Freel, Secretary of State

0070320 8100

981024017

AUTHENTICATION:

8875955

DATE:

01-21-98

**RESTATED CERTIFICATE OF INCORPORATION  
HOECHST CELANESE CORPORATION**

Hoechst Celanese Corporation, incorporated under the name "The American Cellulose & Chemical Manufacturing Company, Ltd." by the filing of its original Certificate of Incorporation with the Secretary of State on January 5, 1918, does hereby file this Restated Certificate of Incorporation which has been duly adopted by the Board of Directors and the sole Stockholder. The text of this Restated Certificate of Incorporation as heretofore amended or supplemented is hereby restated and further amended to read in its entirety as follows:

FIRST: The name of the Corporation is HNA HOLDINGS, INC.

SECOND: The address of the registered office of the Corporation in the State of Delaware is Corporation Trust Center, 1209 Orange Street in the City of Wilmington, County of New Castle. The name of its registered agent at such address is The Corporation Trust Company.

THIRD: The nature of the business and the objects and purposes proposed to be conducted or promoted by the Corporation, are to engage in any activity for which corporations may be organized under the General Corporation Law of Delaware.

FOURTH: The total number of shares of stock that the Corporation shall have authority to issue is ten thousand (10,000) shares of Common Stock, par value \$0.10 per share.

FIFTH: The Board of Directors is authorized to adopt, amend or repeal the By-laws of the Corporation.

SIXTH: Meetings of stockholders shall be held at such place, within or without the State of Delaware, as may be designated by or in the manner provided by the By-laws. The books of the Corporation may be kept (subject to any provision contained in the Delaware General Corporation Law) outside of the State of Delaware at such place or places as may be designated from time to time by the Board of Directors in the By-laws of the Corporation. Elections of directors need not be by written ballot unless and to the extent that the By-laws so provide.

SEVENTH: The Corporation reserves the right to amend, alter or repeal any provision contained in this Restated Certificate of Incorporation in the manner now or hereafter prescribed by statute, and all rights of stockholders herein are subject to this reservation.


EIGHTH: No director of the Corporation shall be personally liable to the Corporation or its stockholders for monetary damages for breach of fiduciary duty as a director; except for liability (i) for any breach of the director's duty of loyalty to the corporation or its stockholders, (ii) for acts or omissions not in good faith or which involve intentional misconduct or a knowing violation of law, (iii) under Section 174 of the General Corporation Law of the State of Delaware, or (iv) for any transaction from which the director derived an improper personal benefit.



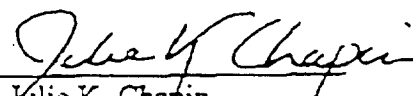
This Restated Certificate of Incorporation was duly adopted by the sole stockholder in accordance with the provisions of Sections 242 and 245 of the Delaware General Corporation Law.

IN WITNESS WHEREOF, said HNA Holdings, Inc. has caused its corporate seal to be hereunto affixed and this certificate to be signed by David A. Jenkins, its President and attested by Julie K. Chapin, its Assistant Secretary, this 2<sup>nd</sup> day of January, 1998.

HNA HOLDINGS, INC.

By:   
David A. Jenkins  
President

ATTEST

By:   
Julie K. Chapin  
Assistant Secretary

[SEAL]