

Form PTO-1595  
1-31-92

04-19-1999



101013444

U.S. Department of Commerce  
Patent and Trademark Office  
P1180

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

1. Name of conveying party(ies):  
Paul N. Freeman Stephen G. Grubb  
Daniel A. Ratoff  
David G. Mehuys

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

2. Name and address of receiving party(ies):  
Name: SDL, Inc.  
Internal Address:  
Street Address:  
80 Rose Orchard Way  
San Jose, CA 95134-1365

3. Nature of Conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of  
Name  
☐ Other

Additional name(s) and addresses attached?  
Yes ☒ No

Execution Date: March 29, 1999

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).  
09/252,713 filed February 19, 1999

B. Patent No(s).

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

W. Douglas Carothers, Jr.  
SDL, Inc.  
80 Rose Orchard Way  
San Jose, CA 95134-1365

6. Total number of applications and patents  
involved:

1

7. Total fee (37 CFR 3.41) .....\$40

8. Deposit Account Number: 19-1015  
(Attach duplicate copy of this page if paying by  
deposit account)

**DO NOT USE THIS SPACE**

9. Statement and signature.

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

W. Douglas Carothers, Jr.  
Registration No. 22,024

Date: April 5, 1999

04/14/1999 TL0011 00000019 191015 09252713

01 FC:581

(40.00 CH)

**PATENT**  
**REEL: 9884 FRAME: 0616**

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, WE, the undersigned,

Paul N. Freeman, Stephen G. Grubb, Daniel A. Ratoff and David G. Mehuys

who have created a certain invention for which an application for United States Letters Patent has been filed on the 19th day of February, 1999. Serial No. 09/252,713, and entitled:

**UPGRADABLE, GAIN FLATTENED FIBER AMPLIFIERS FOR WDM APPLICATIONS**

We hereby sell, assign and transfer to **SDL, INC.**, a corporation of Delaware, its successors, assigns, and legal representatives, our full and exclusive rights in and to said invention and said application and to any and all inventions described in said application for the United States, its territorial possessions and all foreign countries, and the entire right, title and interest in and to any and all Letters Patent which may be granted therefor in the United States, its territorial possessions and all foreign countries; and in and to any and all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, and all other applications for Letters Patent relating thereto which have been or shall be filed in the United States, its territorial possessions and/or any foreign countries, and all rights, together with all priority rights, under any of the international conventions, unions, agreements, acts, and treaties, including all future conventions, unions, agreements, acts, and treaties;

We further agree that **SDL, INC.**, hereinafter referred to as Assignee, may apply for and receive Letters Patent for said invention, in its own name, in the United States, its territorial possessions, and all foreign countries; and that, when requested to carry out in good faith the intent and purpose of this assignment, at the expense of said Assignee, its successors, assigns and legal representatives, the undersigned will execute all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, execute all rightful oaths, assignments, powers of attorney and other papers, testify in any legal or quasi legal proceedings; communicate to said Assignee, its successors, assigns or legal representatives all facts known to the undersigned relating to said invention and the history thereof; and generally do everything possible which said Assignee, its successors, assigns, or legal representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said invention and for vesting title to said invention and all applications for patents on said invention in said Assignee, its successors, assigns, or legal representatives; and

Covenant with said Assignee, its successors, assigns, or legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

IN TESTIMONY WHEREOF WE have hereunto set OUR signature seal on the date indicated below.

Date: 3-29-99

Paul Freeman

Paul N. Freeman

Date: \_\_\_\_\_

Stephen G. Grubb

Date: 3/25/99

Daniel A. Ratoff

Daniel A. Ratoff

Date: 3/26/99

David G. Mehuys

David G. Mehuys

State of CALIFORNIA )County of SANTA CLARA )

SS.

On MARCH 27, 1997, before me, W. DOUGLAS CAROTHERS, JR., Notary Public  
Name and Title of Officer (e.g. "Jane Doe, Notary Public")personally appeared PAUL N. FREEMAN  
Name(s) of Signer(s)

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



WITNESS my hand and official seal.

W. Douglas Carothers Jr.  
Signature of Notary Public

Place Notary Seal Above

State of \_\_\_\_\_ )

County of \_\_\_\_\_ )

SS.

On \_\_\_\_\_, before me, \_\_\_\_\_  
Name and Title of Officer (e.g. "Jane Doe, Notary Public")personally appeared \_\_\_\_\_  
Name(s) of Signer(s)

☐ personally known to me or ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Place Notary Seal Above

\_\_\_\_\_  
Signature of Notary Public

State of California )  
 County of Santa Clara ) SS.

On 3/25/99, before me, Virginia A. Griffith, Notary Public  
Name and Title of Officer (e.g. "Jane Doe, Notary Public")

personally appeared Daniel A. Batoff  
Name(s) of Signer(s)

☒ personally known to me or ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/~~are~~ subscribed to the within instrument and acknowledged to me that he/~~she/they~~ executed the same in his/~~her/their~~ authorized capacity(~~ies~~), and that by his/~~her/their~~ signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



Place Notary Seal Above

Virginia A. Griffith  
Signature of Notary Public

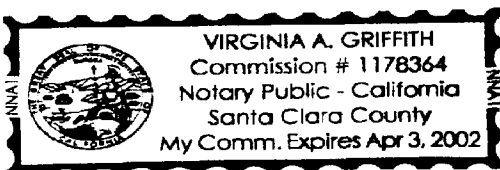
State of California )  
 County of Santa Clara ) SS.

On 3/26/99, before me, Virginia A. Griffith  
Name and Title of Officer (e.g. "Jane Doe, Notary Public")

personally appeared David G. Mehays  
Name(s) of Signer(s)

☒ personally known to me or ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/~~are~~ subscribed to the within instrument and acknowledged to me that he/~~she/they~~ executed the same in his/~~her/their~~ authorized capacity(~~ies~~), and that by his/~~her/their~~ signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.



Place Notary Seal Above

Virginia A. Griffith  
Signature of Notary Public

**ASSIGNMENT**

For good and valuable consideration, the receipt of which is hereby acknowledged, WE, the undersigned,

Paul N. Freeman, Stephen G. Grubb, Daniel A. Ratoff and David G. Mehuys

who have created a certain invention for which an application for United States Letters Patent has been filed on the 19th day of February, 1999 Serial No. 09/252,713, and entitled:

**UPGRADABLE, GAIN FLATTENED FIBER AMPLIFIERS FOR WDM APPLICATIONS**

We hereby sell, assign and transfer to **SDL, INC.**, a corporation of Delaware, its successors, assigns, and legal representatives, our full and exclusive rights in and to said invention and said application and to any and all inventions described in said application for the United States, its territorial possessions and all foreign countries, and the entire right, title and interest in and to any and all Letters Patent which may be granted therefor in the United States, its territorial possessions and all foreign countries; and in and to any and all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, and all other applications for Letters Patent relating thereto which have been or shall be filed in the United States, its territorial possessions and/or any foreign countries, and all rights, together with all priority rights, under any of the international conventions, unions, agreements, acts, and treaties, including all future conventions, unions, agreements, acts, and treaties;

We further agree that **SDL, INC.**, hereinafter referred to as Assignee, may apply for and receive Letters Patent for said invention, in its own name, in the United States, its territorial possessions, and all foreign countries; and that, when requested to carry out in good faith the intent and purpose of this assignment, at the expense of said Assignee, its successors, assigns and legal representatives, the undersigned will execute all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, execute all rightful oaths, assignments, powers of attorney and other papers, testify in any legal or quasi legal proceedings; communicate to said Assignee, its successors, assigns or legal representatives all facts known to the undersigned relating to said invention and the history thereof; and generally do everything possible which said Assignee, its successors, assigns, or legal representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said invention and for vesting title to said invention and all applications for patents on said invention in said Assignee, its successors, assigns, or legal representatives; and

Covenant with said Assignee, its successors, assigns, or legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

IN TESTIMONY WHEREOF WE have hereunto set OUR signature seal on the date indicated below.

Date: \_\_\_\_\_

Date: 4/1/99

Date: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Paul N. Freeman

\_\_\_\_\_  
*Stephen G. Grubb*  
Stephen G. Grubb

\_\_\_\_\_  
Daniel A. Ratoff

\_\_\_\_\_  
David G. Mehuys

State of Maryland )  
County of Howard ) SS.

On April 1, 1999, before me, Gladys Marie Donachy Notary Pu  
Name and Title of Officer (e.g. "Jane Doe, Notary Public")  
personally appeared Stephen Grubb  
Name(s) of Signer(s)

☐ personally known to me or ☐ proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

Place Notary Seal Above

Gladys Marie Donachy  
Signature of Notary Public

GLADYS MARIE DONACHY  
NOTARY PUBLIC STATE OF MARYLAND  
My Commission Expires November 1, 2000