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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

101073798

Attorney Docket No. 103113

MD 3-29-99

To the Assistant Commissioner for Patents: Please record the attached original document or copy thereof.

1. A. Name of conveying party(ies):

Takeo KAWASE  
Takeo KANEKO

B. Additional name(s) of conveying party(ies) attached?

Yes  No

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

SEIKO EPSON CORPORATION  
4-1, NISHINJUKU 2-CHOME  
SHINJUKU-KU, TOKYO  
JAPAN

B. Additional name(s) & address(es) attached?

Yes  No

3. A. Nature of conveyance:

- Assignment  Merger
- Security Agreement  Change of Name
- Other \_\_\_\_\_

B. Execution Date: February 16, 1999

4. A. If this document is being filed together with a new application, the execution date of the application is: February 16, 1999

B. Patent Application No.(s) \_\_\_\_\_

C. Patent No.(s) \_\_\_\_\_

Additional numbers attached?  Yes  No

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

Name: James A. Oliff

Address: OLIFF & BENNEDGE, PLC  
P.O. Box 19928  
Alexandria, VA 22320

6. Total number of applications and patents involved: 1

7. A. Total fee (37 CFR 3.41).....\$ 40.00

B. Enclosed (Check No. 67243)

8. Credit any overpayment or charge any underpayment to deposit account number 15-0461.

04/01/1999 00000001 09269477

02 FC:581

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.

David J. Zibelli  
James A. Oliff  
David J. Zibelli

Registration No. 27,075  
Registration No. 36,394

Date: March 29, 1999

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

### 譲渡証 (Translation/日本語訳)

下記に署名した私/私達、

川瀬健夫、金子丈夫 は、

ある発明を創出し、これについて合衆国特許出願は

- ここに私/私達により署名され、
- \_\_\_\_\_に私/私達により (それぞれ) 署名され、
- \_\_\_\_\_に出願され、出願番号\_\_\_\_\_が交付され、
- PCT 国際出願 \_\_\_\_\_として\_\_\_\_\_に出願され、

その発明は

面発光型半導体レーザー

という名称である。そして、ここにその受領を認める対価で：私/私達は、当該発明/出願について、合衆国とその属領及び全ての外国に於ける全面的かつ独占的な権利；合衆国とその属領及び全ての外国に於いて発行される特許証に関わる全ての権利、所有権、利益；一部継続出願、継続出願、分割出願、差替え出願、再発行出願、特許期間延長等、合衆国とその属領及び全ての外国に於いて既に出願されたか若しくは今後出願される特許に関わる全ての権利；そして、国際条約、同盟、契約、法令、協定（将来制定されるものを含む）に基づく全ての優先権を伴う一切の権利；を、日本国東京都新宿区西新宿 2 丁目 4 番 1 号に住所を有するセイコーエプソン株式会社、その後継者、譲受人及び法定代理人に対して、売却、譲渡、移転するものとする。

さらに、私/私達は、セイコーエプソン株式会社（以下譲受人と言う）が単数ないしは複数の当該発明（以下当該発明という）に関わる特許権を、自己の名により、合衆国とその属領及び全ての外国に於いて出願し、特許を受けること；またこの譲渡証の意図と目的を誠実に実行することを求められた場合、下記に署名した私/私達が、当該譲受人、その後継者、その被譲渡者、及び法定代理人の費用負担にて、一部継続出願、継続出願、分割出願、差替え出願、再発行出願、特許期間延長等を行い、合法的宣誓書、譲渡証、委任状等の書類を作成し、あらゆる法的または準法的訴訟手続に於いて証言を行うこと；当該発明とその経緯に関連して、下記に署名した私/私達が知り得た全ての事実を、当該譲受人、後継者、被譲渡者、及び法定代理人に連絡すること；そして当該譲受人、後継者、被譲渡者、及び法定代理人が、当該発明の特許権の適切な保護、維持、権利行使するために望ましいと考慮すること、また、当該発明に関わる特許出願に際し、当該譲受人、後継者、被譲渡者、及び法定代理人に対して法的権限を付与することが望ましいと考慮することについて、可能な限り行うことを承諾する。

### Assignment

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

Takeo KAWASE, Takeo KANEKO,

who have created a certain invention for which an application for United States Letters Patent

- executed by ME/US on even date herewith,
- executed by ME/US on \_\_\_\_\_, (respectively),
- filed on \_\_\_\_\_ and assigned Serial No. \_\_\_\_\_,
- filed as International Application No. \_\_\_\_\_ filed on \_\_\_\_\_

and entitled:

SURFACE EMITTING TYPE SEMICONDUCTOR LASER

Do hereby sell, assign and transfer to **Seiko Epson Corporation**, a corporation of Japan, having a place of business at 4-1, Nishi-shinjuku 2-chome, Shinjuku-ku, Tokyo, Japan, its successors, assigns, and legal representatives, the full and exclusive right 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;

Agree that **Seiko Epson Corporation**, hereinafter referred to as Assignee, may apply for and receive Letters Patent for said invention and said inventions, hereinafter referred to as 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

そして、私/私達は、この書面により譲渡された権利や財産に影響する、如何なる譲渡、授権、抵当権、ライセンス等その他の協定も他の第三者との間で行っていないこと； 下記に署名した私/私達によって、この書面に記載されている権利が所有されていることを、当該譲受人、後継者、被譲渡者、及び法定代理人に対して誓約するものである。

さらに、下記に署名した私/私達はこの譲渡書は英語の部分の表現によってのみ解釈されることに同意する。

上記を証明するため、私/私達は下記日付で署名する。

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.

I/WE, the undersigned do further agree that this Assignment is to be construed solely according to the terms of the English language portions thereof.

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

唯一または第一発明者名 川瀬 健夫		Full name of sole or first inventor Takeo KAWASE	
発明者の署名 川瀬 健夫	日付 1999年2月16日	Inventor's signature <i>Takeo Kawase</i>	Date 16 Feb-99
第二共同発明者 (いる場合) 金子 丈夫		Full name of second joint inventor, if any Takeo KANEKO	
第二共同発明者の署名 金子 丈夫	日付 1999年2月16日	Second Inventor's signature <i>Takeo Kaneko</i>	Date Feb. 16, 99
第三共同発明者 (いる場合)		Full name of third joint inventor, if any	
第三共同発明者の署名	日付	Third Inventor's signature	Date
第四共同発明者 (いる場合)		Full name of fourth joint inventor, if any	
第四共同発明者の署名	日付	Fourth Inventor's signature	Date
第五共同発明者 (いる場合)		Full name of fifth joint inventor, if any	
第五共同発明者の署名	日付	Fifth Inventor's signature	Date
第六共同発明者 (いる場合)		Full name of sixth joint inventor, if any	
第六共同発明者の署名	日付	Sixth Inventor's signature	Date
第七共同発明者 (いる場合)		Full name of seventh joint inventor, if any	
第七共同発明者の署名	日付	Seventh Inventor's signature	Date
第八共同発明者 (いる場合)		Full name of eighth joint inventor, if any	
第八共同発明者の署名	日付	Eighth Inventor's signature	Date