

10-01-1999

Attorney Docket: 1449P

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101160070

To the Assistant Commissioner of Patents: Please record the attached original documents or copy thereof.

RECEIVED U.S. PTO  
09/404416  
09/23/99

1. Name of conveying party(ies): *mad* \*  
 Simon X.F. Cao *9-23-99* \* 2. Name and address of receiving party(ies): \*  
 Name: **Avanex Corporation** \*  
 Street Address: **42501 Albrae Street** \*  
 City: **Fremont** State: **CA** ZIP: **94583** \*  
 Additional name(s) of conveying party(ies) attached  Yes  No \*  
 Additional name(s) & address(es) attached?  Yes  No \*

3. Nature of conveyance:  
 Assignment Execution Date: September 21, 1999

4. Application number(s) or patent number(s): *09/404,416*  
 If this document is being filed together with a new application, the execution date of the application is: September 21, 1999.  
 A. Patent Application No.(s) \* B. Patent No.(s) \*  
 Additional numbers attached?  Yes  No \* Additional numbers attached?  Yes  No \*

5. Name and address of party to whom correspondence concerning document should be mailed:  
 Name: **Joseph A. Sawyer, Jr.** \*  
 Internal \*  
 Address: **Sawyer & Associates** \*  
 Street \*  
 Address: **P.O. Box 51418** \*  
**Palo Alto, California 94303** \*  
 6. Total Number of applications and patents involved: **One** \*  
 7. Total fee (37 CFR 3.41).....\$ **40.00** \*  
 Enclosed \*  
 Authorized to be charged to deposit account \*  
 8. Deposit Account Number: 02-2120 \*  
 (Attach copy of this page) \*

(10/01/1999 DMSUYEN 00000275 022120 09404416)  
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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.  
 Date 9/23/99 Joseph A. Sawyer, Jr., Reg. No. 30,801

Total number of pages including cover sheet, attachments, and documents: 2

**ASSIGNMENT**

For good and valuable consideration, the receipt of which is hereby acknowledged, I/we, the undersigned, Simon X.F. Cao, do hereby sell, assign, and transfer to: **Avanex Corporation**, having a principal place of business at 42501 Albrae Street, Fremont, California 94583 ("Assignee"), its successors, assigns, and legal representatives, the entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in the application for United States Letters Patent,

[ X ] which has been executed by the undersigned concurrently herewith,

[ ] which was filed on \_\_\_\_\_.

and is entitled:

**REFLECTION-TYPE OPTICAL CIRCULATOR UTILIZING A LENS AND  
BIREFRINGENT PLATES**

and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application; and

Agree that said Assignee may apply for and receive Letters Patent for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns, and representatives, all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and 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.

Signed:

Name: \_\_\_\_\_

  
Simon X.F. Cao

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

9/21/99