

10-15-1999

ET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

101172320

Tab settings

To the Honorable Commissioner of P.

attached original documents or copy thereof.

1. Name of conveying party(ies):

UNIVERSITY OF KANSAS

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Date: July 1, 1999

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

Name: NORTEL NETWORKS CORPORATION

Address: 8200 Dixie Rd.

City: Brampton

State/Prov.: Ontario

Country: Canada

ZIP: L6T 5P6

Additional name(s) & address(es)

☐ Yes ☒ No

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: October 4, 1999

Patent Application No.

Filing date

B. Patent No.(s)

10/15/1999 PALLER 00000024 09411649

06 FC:581

40.00 OP

Additional numbers

☐ Yes ☒ No

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

Name: Ralph A. Dowell

Registration No. 26868

Address: DOWELL & DOWELL, P.C.,

1215 Jefferson Davis Highway, Suite 309

City: Arlington

State/Prov.: Virginia

Country: U.S.A.

ZIP: 22202-3124

6. Total number of applications and patents involved:

1

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

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

8. Deposit account number:

19-2550

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 attached copy is a true copy of the original document.

James McGraw (Reg. No. 28168)

Name of Person Signing

Signature

October 4, 1999

Date

Total number of pages including cover sheet, attachments, and

2

10/04 '99 14:54

ASSIGNMENT

WHEREAS, the University of Kansas, a public educational institution duly organized under the laws of the State of Kansas and having its principal place of business at the Office of General Counsel, the University of Kansas, Strong Hall, Lawrence, Kansas 66045, is the current assignee of all right, title, and interest in, to, and under certain new and useful technologies in the area of high resolution optical spectrum analyzers for WDM system link quality monitoring, as described in Technical Disclosure ITTD019901 entitled "High Resolution Optical Spectrum Analyzer for Optical System Link Quality Monitoring," and any derivatives based in whole or in part on the novel elements disclosed in such Technical Disclosure (the "Intellectual Property"); and

WHEREAS, Nortel Networks Corporation, formerly known as Northern Telecom Limited, a Canadian corporation having principal offices at 8200 Dixie Rd., Brampton, Ontario, Canada, L6T 5P6, ("Nortel Networks") is desirous of acquiring all right, title, and interest in, to, and under the Intellectual Property.

NOW, THEREFORE, to all whom it may concern be it known that for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, and pursuant to Sponsored Research Agreement Rev. N 99-03-22 being executed contemporaneously herewith, the University of Kansas as sole assignee and owner of the Intellectual Property, has assigned, sold, set over, and transferred, and by these presents does hereby assign, sell, set over, and transfer unto Nortel Networks the full and exclusive right, title, and interest, throughout the world, in, to, and under the Intellectual Property without any restriction, including any patent applications which have already or may hereafter be filed in the United States Patent Office for the Intellectual Property, all divisions and continuations thereof, all Letters Patent of the United States which may be granted thereon and all reissues and/or reexaminations thereof, and all rights to claim priority on the basis of the above applications, and all applications for Letters Patent which have already or may hereafter be filed for the Intellectual Property in any foreign country, and all Letters Patent which may be granted thereon in any foreign country, and all extensions, renewals, and reissues thereof, as well as any and all trademarks, servicemarks, and copyrights which may issue or be registered from the Intellectual Property.

The University of Kansas further covenants and agrees that it has the full right to convey the interest assigned herein, and that it has not executed any agreement in conflict with this Assignment. The University of Kansas hereby authorizes and requests the official(s) of the United States, and those of any foreign country, whose duty it is to issue patents on applications or issue or register trademarks, servicemarks, or copyrights, as described above, to issue all Letters Patent for the Intellectual Property and/or issue or register all trademarks, servicemarks or copyrights in connection with the Intellectual Property, to Nortel Networks, its successors and assigns in accordance with the terms of this Assignment.

ALL of the above shall be held and enjoyed by Nortel Networks for its own use and behalf, and for its successors, legal representatives, and assigns, to the full end of the term for which any Letters Patent, trademarks, servicemarks, and copyrights may be granted.

10/04 '99 14:54

PATENT
REEL: 010301 FRAME: 0011

IN WITNESS WHEREOF, the University of Kansas has caused this Assignment to be executed by the following duly authorized representative:

Date:

7-1-99

Signed:

Kim Moreland

STATE OF KANSAS)

)ss.

COUNTY OF DOUGLAS)

On this 1st day of July, 1999, before me personally appeared to me, Kim Moreland, known to be the person described in and who executed the foregoing instrument, and who duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

Beth Ridenour

Notary Public

My Commission expires: 5/17/2000

SEAL

STATE OF KANSAS)

)ss.

COUNTY OF DOUGLAS)

