

MRTD

NO. 12 003

ASSIGNMENT RECORDATION COVER SHEET  
-PATENTS ONLY-

To: Honorable Commissioner of Patents and Trademarks:

11-24-1999

Please record the attached original document(s) or copy thereof.



101206429

- 1. Name of conveying party(ies)
  - a) Alexander V. Tuganov
  - b) Alejandro D. Farinas
  - c)
- 2. Name and address of receiving party(ies):
  - a) Name: New Focus, Inc.
  - Address: 2630 Walsh Avenue  
Santa Clara, CA 95051

- 3. Nature of conveyance
 

<input checked="" type="checkbox"/> Assignment	<input type="checkbox"/> Merger
<input type="checkbox"/> Security Agreement	<input type="checkbox"/> Change of Name
<input type="checkbox"/> Other _____	<input type="checkbox"/> License Agreement

Execution Date: November 10, 1999 and November 5, 1999

- 4. Application Number(s) or Patent Number(s): 09/393,861

The title of the (new) application is: AN OPEN LOOP WAVELENGTH CONTROL SYSTEM FOR A TUNABLE LASER

- 5. Please send all correspondence concerning this (these) documents to:

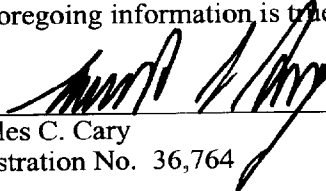
**Customer Number: 022434**  
**BEYER & WEAVER, LLP**  
 P.O. Box 61059  
 Palo Alto, CA 94306  
 Telephone (650) 493-2100  
 Fax (650) 493-2102

- 6. Total number of applications and patents involved: 1
- 7. Total fee (37 CFR 3.41): \$40.00

- Enclosed
- Any additional fees are authorized to be charged to Deposit Account No. 50-0388 (Order No. NFC1P009)

- 8. 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: November 18, 1999

  
 \_\_\_\_\_  
 Charles C. Cary  
 Registration No. 36,764

11/23/1999 HKAMARA 00000041 09393861  
 02 FC:581 40.00 OP

Attorney Docket No. NFC1P009

(Revised 01/96)

PATENT  
REEL: 010392 FRAME: 0486

# ASSIGNMENT OF PATENT APPLICATION

(Not Accompanying Application)

Whereas I/we the undersigned inventor(s) have invented certain new and useful improvements as set forth in the patent application entitled:

## AN OPEN LOOP WAVELENGTH CONTROL SYSTEM FOR A TUNABLE LASER

for which I (we) have executed an application for a United States Letters Patent which was filed in the U.S. Patent and Trademark Office on September 10, 1999, and which bears the Application No. 09/393,861.

For good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, I/We the undersigned inventor(s) hereby:

- 1) Sell(s), assign(s) and transfer(s) to New Focus, Inc., a California corporation having a place of business at 2630 Walsh Avenue, Santa Clara, CA 95051, (hereinafter referred to as "ASSIGNEE"), the entire right title and interest in any and all improvements and inventions disclosed in, application(s) based upon, and Patent(s) (including foreign patents) granted upon the information which is disclosed in the above referenced application.
- 2) Authorize and request the Commissioner of Patents to issue any and all Letters Patents resulting from said application or any division(s), continuation(s), substitutes(s) or reissue(s) thereof to the ASSIGNEE.
- 3) Agree to execute all papers and documents and, entirely at the ASSIGNEE's expense, perform any acts which are reasonably necessary in connection with the prosecution of said application, as well as any derivative and applications thereof, foreign applications based thereon, and/or the enforcement of patents resulting from such applications.
- 4) Agree that the terms, covenants and conditions of this assignment shall inure to the benefit of the Assignee, its successors, assigns and other legal representative, and shall be binding upon the inventor(s), as well as the inventor's heirs, legal representatives and assigns.
- 5) Warrant and represent that I/we have not entered, and will not enter into any assignment, contract, or understanding that conflicts with this assignment.

Signed on the date(s) indicated beside my (our) signature(s).

1. Inventor Signature: Alexander V. Tuganov  
Alexander V. Tuganov

Date: 11-19/99

State of CALIFORNIA )  
County of SANTA CLARA )

ss.

On this 10 day of NOVEMBER, in the year 1999, before me, MELINDA Y. ENOMOTO, Notary Public, personally appeared Alexander V. Tuganov, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity(ies), and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Notary Signature Melinda Y. Enomoto

(SEAL)



2. Inventor Signature:

Alejandro Farinas  
Alejandro D. Farinas

Date: 11/5/99

State of CAIFORNIA )  
County of SANTA CLARA )

SS.

On this 5 day of NOVEMBER, in the year 1999, before me, MELINDA Y. ENOMOTO, Notary Pubic, personally appeared Alejandro D. Farinas, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument, and acknowledged to me that he/she executed the same in his/her authorized capacity(ies), and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Notary Signature *M. Y. Enomoto*

(SEAL)

