

To: Honorable Commissioner of Patents and Trademarks:

Please record	the	attached	original	document(s	s) or	copy 1	thereof.

1. Name of conveying par	ty(ies)
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- a) Alexander V. TUGANOV
- b) I-Fan WU
- c) Michael BROWNELL
- d) Timothy DAY

2.	Name and address	of receiving party(ies)
	\ NI	Mari Danie I.

a) Name: Address:

New Focus, Inc.

2630 Walsh Avenue

Santa Clara, CA 95051

3.	Nature of conveyance Assignment
	Execution Dates: November 10, 1999; November 5, 1999; November 10, 1999 and November 19 1999 respectively.
4.	Application Number(s) or Patent Number(s): 09/393,398
	The title of the (new) application is: A MECHANICALLY GROUNDED 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

 - Any additional fees are authorized to be charged to Deposit Account No. 50-0388 (Order No. NFC1P008).
- 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 29, 1999

Charles C. Cary

Registration No. 36,764

91 09393399 40.00 0p

(Revised 01/96)

12/02/1999 02 FF-581

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:

A MECHANICALLY GROUNDED 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. 09/393,398.

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

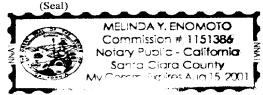
- 1) Sell(s), assign(s) and transfer(s) to New Focus, Inc., a California corporation having a place of business at 2630 Walsh Avenue, Santa Clara, CA 95051, (hereinafter referred to as "ASSIGNEE"), the entire right title and interest in any and all improvements and inventions disclosed in, application(s) 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).

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1. Inventor Signature:	Mugan	o s	Date:	11/10/99
CALIFORNIA	Alexander V. Tug	ganov		
State of)			
County of SANTA CLARA)	SS.		
On this 10 day o	f NOVEMBER y Pubic, personally ap	, in ppeared Alexan	the year 1 ider V. Tugan	.99 <u>9</u> , before me ov, personally know
to me (or proved to me on the basis of within instrument, and acknowledged and that by his/her signature on the insexecuted the instrument.	f satisfactory evidence to me that he/she exe) to be the pers cuted the same	on whose nan in his/her au	ne is subscribed to the thorized capacity(ies
WITNESS my hand and offic	ial seal.			
Notary Signature — Y	Enoul	····		
			(Seal)	

Atty Docket No.:NFC1P008 (Updated 0619/98)

Page 1 of 2



PATENT REEL: 010412 FRAME: 0365

2. Inventor Signature:	Man Cle		Date:	11/5/95
2. Inventor Signature:	I-Fan Wu			
State of CANTONIA				
County of SANTA CLARA)	SS.		
On this 15 day	of NOVEMBE	, ir	the year 1	99 <u>7</u> , before me,
proved to me on the basis of satis	sfactory evidence) to	be the person v	vhose name is sul	bscribed to the within
instrument, and acknowledged to n by his/her signature on the instrum- the instrument.	ne that he/she execute ent the person, or the	ed the same in hentity upon beh	is/her authorized alf of which the p	capacity(ies), and that person acted, executed
WITNESS my hand and o	_			MELINDAY, ENOMOTO Commission # 1151386
Notary Signature	Ent			Notary Public - California Sarita Clara County Ny Committee Expires Aug 15, 2001
3. Inventor Signature:	Michael Bro	 wnell	Date:	
		Wilch		
State of		SS.		
County of	<u></u>	50.		
On this day	of	, ii	n the year	199, before me, ersonally known to me
(or proved to me on the basis of sa instrument, and acknowledged to it by his/her signature on the instrument. WITNESS my hand and of	atisfactory evidence) t me that he/she execute nent the person, or the	to be the person ed the same in h	whose name is su nis/her authorized	ibscribed to the within capacity(ies), and that
Notary Signature				
			(Seal)	
)# ₁	Data	11/19/99
4. Inventor Signature:	Timothy Da	v	Bate:	
State of CAUFORIA)			
County of SANTA CLARA)	ss.		
On this day proved to me on the basis of sati instrument, and acknowledged to by his/her signature on the instrument.	of Notary Pubic, personal isfactory evidence) to me that he/she execut	be the person ted the same in	whose name is su his/her authorized	ubscribed to the within leapacity(ies), and that
WITNESS my hand and				
Notary Signature	4. 2d			
			(Seal)	
				MELINDA Y, ENOMOTO
Atty Docket No.:NFC1P008 (Updated 0619/98)	Pag	e 2 of 2		Commission # 1151386 Notary Public - California Santa Clara County

My Comm Expires Aug 15, 2001

PATENT

2. Inventor Signature:	Date:
I-Fan Wu	
State of	
County of	
On this day of,, Notary Pubic, personally appeared	in the year 199_, before me,
proved to me on the basis of satisfactory evidence) to be the personous instrument, and acknowledged to me that he/she executed the same in by his/her signature on the instrument the person, or the entity upon the instrument.	on whose name is subscribed to the within in his/her authorized capacity(ies), and that
WITNESS my hand and official seal.	
Notary Signature	 (Seal)
	· ·
3. Inventor Signature: Michael Brownell	Date: 10 (10 (5%)
State of Colifornia	
County of Occasion) ss.	
On this / OH day of Mourney, Notary Pubic, personally appeared to proved to me on the basis of satisfactory evidence) to be the personstrument, and acknowledged to me that he/she executed the same by his/her signature on the instrument the person, or the entity upon the instrument.	Michael Brownell, personally known to me son whose name is subscribed to the within in his/her authorized capacity(ies), and that
WITNESS my hand and official seal. Notary Signature	EONG SOO KIM COMM. #1200722 NOTARY PUBLIC-CALIFORNIA ORANGE COUNTY My Comm. Expires Nov. 5, 2002
4. Inventor Signature: Timothy Day	Date: 11/19/19
State of	
County of	
On this, day of, Notary Pubic, personally appeared	in the year 199_, before me, Timothy Day, personally known to me (or
proved to me on the basis of satisfactory evidence) to be the persinstrument, and acknowledged to me that he/she executed the same by his/her signature on the instrument the person, or the entity upon the instrument.	on whose name is subscribed to the within in his/her authorized capacity(ies), and that
WITNESS my hand and official seal.	
Notary Signature	
	(Seal)

Atty Docket No.:NFC1P008 (Updated 0619/98)

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PATENT REEL: 010412 FRAME: 0367

RECORDED: 12/02/1999