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Submission Type

☐ New

☐ Resubmission (Non-Recordation)  
Document ID#

☐ Correction of PTO Error  
Reel #  Frame #

☒ Corrective Document  
Reel #  8558 Frame #  0271

Conveyance Type

☒ Assignment ☐ Security Agreement

☐ License ☐ Change of Name

☐ Merger ☐ Other

U.S. Government  
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☐ Departmental File ☐ Secret File

Conveying Party(ies)

☒ Mark if additional names of conveying parties attached

Name (line 1)	Execution Date		
	Month	Day	Year
Sverrir OLAFSSON	3	14	97
Name (line 2)			
<b>Second Party</b>			
Name (line 1)	Zhenyu ZHOU		
Name (line 2)			

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1)	Rockwell Science Center, Inc.		
Name (line 2)			
Address (line 1)	1049 Camino Dos Rios		
Address (line 2)			
Address (line 3)	Thousand Oaks	California	91368
	City	State/Country	Zip Code

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Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

PATENT  
REEL: 010435 FRAME: 0492

Correspondent Name and Address

Area Code and Telephone Number

(602) 382-6270

Name Mark M. Takahashi, Esq.

Address (line 1) SNELL & WILMER

Address (line 2) One Arizona Center

Address (line 3) 400 East Van Buren Street

Address (line 4) Phoenix, Arizona 85004-2202

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

# 5

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

08/746.731

If this document is being filed together with a new Patent Application, enter the date the patent application was

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number only if a U.S. Application Number has not been assigned.

PCT PCT PCT  
PCT PCT PCT

Number of Properties

Enter the total number of properties involved.

# 1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$

40.00

Method of Payment:

Enclosed ☒

Deposit Account ☐

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the

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# 19-2814

Authorization to charge additional fees:

Yes ☒ No ☐

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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. Charges to deposit account are authorized, as indicated herein.

Mark M. Takahashi, Reg. No. 36,831

Name of Person Signing

Signature

December 1, 1999

Date

RECORDATION FORM COVER SHEET  
CONTINUATION  
PATENTS ONLY

U.S. Department of Commerce  
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PATENT

Conveying Party(ies)

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Enter additional Conveying Parties

Name (line 1) Xuming ZHANG

Execution Date  
Month Day Year  
03/14/1997

Name (line 2)

Name (line 1)

Execution Date  
Month Day Year

Name (line 2)

Name (line 1)

Execution Date  
Month Day Year

Name (line 2)

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

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Name (line 2)

Address (line 1)

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Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

**ASSIGNMENT OF INVENTION**

WHEREAS, Sverrir Olafsson, Zhenyu Zhou, and Xuming Zhang hereinafter sometimes referred to as "said inventors," have invented certain new and useful improvements in **METHOD AND APPARATUS FOR SPECTRAL SHAPING IN SIGNAL-POINT LIMITED TRANSMISSION SYSTEMS** which invention or inventions (hereinafter referred to as "invention") have been disclosed to and filed, under Docket No. 96E103, in the patent files of their employer, ROCKWELL INTERNATIONAL CORPORATION, 2201 Seal Beach Blvd., Seal Beach, CA 90740-8250, the rights to which are now owned by ROCKWELL SCIENCE CENTER, INC., 1049 Camino Dos Rios, Thousand Oaks, CA 91368 and which invention will be covered by a patent application, the serial number and filing date of which they hereby authorize their attorney to insert here:

(Serial No. 08/746,731 Filed November 15, 1996 ) when known: and

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and other valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the said inventors have sold, assigned and transferred and by these presents do sell, assign and transfer unto ROCKWELL INTERNATIONAL CORPORATION, the entire right, title and interest in and to said invention and in and to said application and in and to all Letters Patent to be obtained for said invention by the above application or any continuation, continuation-in-part, division, renewal, or substitute thereof, or any reissue or re-examination thereof, for the territory of the United States of America and for all foreign countries; said invention and application to be held and enjoyed by the said ROCKWELL INTERNATIONAL CORPORATION, for its own use and benefit and for the use and benefit of its successors and assigns, to the full end of the term for which Letters Patent on same will be granted, as fully and entirely as the same would have been held by said inventors had this Assignment and sale not been made.

FURTHER, said inventors agree to sign all lawful papers necessary or helpful in obtaining a patent on said invention or in filing any divisional, continuation, continuation-in-part, substitution, or reissue application on said invention or in obtaining any re-examination thereof.

Executed at Newport Beach, County of Orange, and State of California, this 14 day of March, 1997

First Inventor

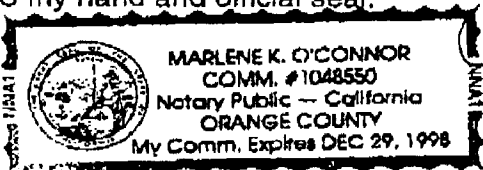
  
Sverrir (NMI) Olafsson

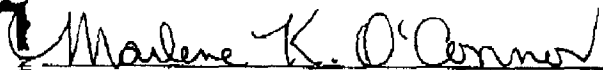
State of California )  
 )ss.  
County of Orange )

On March 14, 1997 before me, Marlene K. O'Connor, a Notary Public in and for the said county, personally appeared Sverrir Olafsson, personally known to me, (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

(Stamp)



  
Marlene K. O'Connor, Notary Public  
Orange County, California

Docket No: **96E103****ASSIGNMENT OF INVENTION**

Executed at Newport Beach, County of Orange, and State of California,  
 this 14 day of March, 1997.

Second Inventor

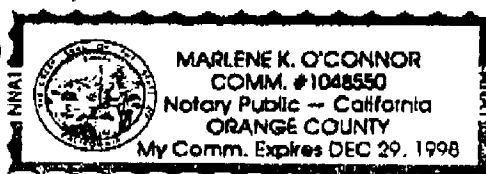
  
 Zhenyu (NMI) Zhou

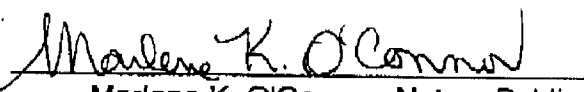
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 )ss.  
 County of Orange )

On March 14, 1997 before me, Marlene K. O'Connor, a Notary Public in and  
 for the said county, personally appeared Zhenyu Zhou, personally known to me, (or  
 proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are  
 subscribed to the within instrument and acknowledged to me that he/she/they executed the  
 same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the  
 instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the  
 instrument.

WITNESS my hand and official seal.

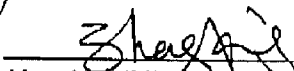
(Stamp)



  
 Marlene K. O'Connor, Notary Public  
 Orange County, California

Executed at Newport Beach, County of Orange, and State of California,  
 this 14th day of March, 1997.

Third Inventor

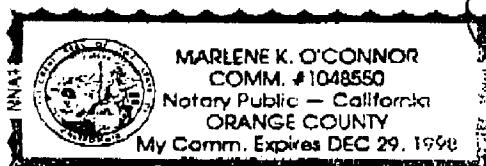
  
 Xuming (NMI) Zhang

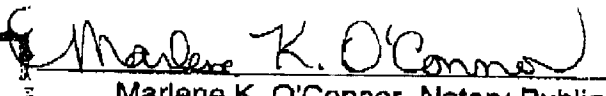
State of California )  
 )ss.  
 County of Orange )

On March 14, 1997 before me, Marlene K. O'Connor, a Notary Public in and  
 for the said county, personally appeared Xuming Zhang, personally known to me, (or  
 proved to me on the basis of satisfactory evidence) to be the person(s) whose name(s) is/are  
 subscribed to the within instrument and acknowledged to me that he/she/they executed the  
 same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the  
 instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the  
 instrument.

WITNESS my hand and official seal.

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 Marlene K. O'Connor, Notary Public  
 Orange County, California

06-26-1997



100444605

Docket No. 96E103

JUN 19 1997

To the Honorable Commissioner of Patents and Trademarks. Please record the attached document.

RECEIPT ACCORDING TO

1. Name of conveying party(ies).

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

MRD 6-19-97

Sverrir Olafsson, Zhenyu Zhou and Xuming Zhang

Name: Rockwell International Corporation

Additional name(s) of conveying party(ies) attached ☐ Yes ☒ No

Street Address: 2201 Seal Beach Blvd.

3. Nature of Conveyance:

City: Seal Beach State: CA Zip: 90740-8250

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other
Additional name(s) and address(es) attached? ☐ Yes ☒ No

Execution Date: March 14, 1997

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

08/746731  
08/746,731Additional numbers attached ☐ Yes ☒ No

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

6. Total number of applications and patents involved 1

Name: Philip K. Yu  
Internal Address: Rockwell Science Center, Inc.  
c/o Intellectual Property Dept., M/C 510-900  
Street Address: 4311 Jamboree Road, P.O. Box C  
City: Newport Beach State: CA Zip: 92658-8902

7. Total fee (37 CFR 3.41): \$ 40.00  
☐ Enclosed  
☒ Authorized to be charged to deposit account

8. Deposit Account Number: 18-1742

06/25/1997 VBROWN 00000058 DAB:181742 08746731  
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Philip K. Yu, Reg. No. 35,742  
Name of Person Signing

Signature

5-23-97

Date

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AT96E103

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