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03-06-2000

Attorney Docket No. 13011-008500

FORM PTO-1595  
(Rev. 6-93)



101282528

U.S. Department of Commerce  
Patent and Trademark Office

To the Honorable Asst. Commissioner

nal documents or copy thereof

1. Name of conveying party(ies):

**Wei-Hung Loh**

Additional name(s) of conveying parties attached?

☒ Yes ☐ No

3. Nature of conveyance:

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

Execution Date: January 12, 2000, January 12, 2000  
and December 3, 1999, respectively

2. Name and address of receiving party(ies)

Name: **E-Tek Dynamics, Inc.**

Internal Address:

Street Address: 1885 Lundy Avenue

City: San Jose State: California ZIP: 95131

Additional names and addresses attached?

☐ Yes ☒ No

4. Application Number(s) or Patent Numbers.

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

A. Patent Application No(s): **09/398,372**

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

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

Name: Gary T. Aka  
TOWNSEND AND TOWNSEND AND CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
(415) 576-0200

6. Total number of applications and patents involved 1

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

- ☐ Enclosed ☒ Charge Fees to Deposit Account  
☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8 Deposit account number: **20-1430**

**DO NOT USE THIS SPACE**

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.*

Gary T. Aka  
Name of Person Signing

Signature

Date

Atty Reg. No. 29,038

Total number of pages including cover sheet, attachments and document 5

10. Change Correspondence Address to that of Part 5? ☐ Yes ☒ No

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover to:

Do not detach this portion

03/03/2000 DNGUYEN 00000261 201430 09398372

Asst. Commissioner for Patents  
Box: Assignments  
Washington, D.C. 20231

01 FC:581 40.00 CH

**PATENT**  
**REEL: 010581 FRAME: 0878**

1. Additional name(s) of conveying party(ies):  
(Continued from Page 1)

**Feng-Qing Zhou**  
**Jing-Jong Pan**

2. Additional name(s) and address(es) of receiving party(ies):  
(Continued from Page 1)

3. Additional application number(s) or patent number(s):  
(Continued from Page 1)

A. Patent Application No.(s)

B. Patent No.(s)

PA 3045584 v1

**ASSIGNMENT OF PATENT APPLICATION**

JOINT

WHEREAS, **Wei-Hung Loh**, of 1424 Birchmeadow Lane, San Jose, CA 95131, **Feng-Qing Zhou**, of 1244 Quincy Drive, Apt. 4, San Jose, CA 95132 and **Jing-Jong Pan**, of 978 Westridge Drive, Milpitas, CA 95035, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: **INTERLEAVED SAMPLED AND CHIRPED  
OPTICAL WAVEGUIDE GRATINGS FOR WDM  
CHANNEL OPERATIONS AND RESULTING  
DEVICES**

Date(s) of execution of Declaration:

Filing Date: **September 17, 1999**

Application No.: **09/398,372**; and

WHEREAS, **E-Tek Dynamics, Inc.**, a corporation of the state of California, located at 1885 Lundy Avenue, San Jose, California, 95131, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

Assignors hereby authorize and request Townsend and Townsend and Crew LLP, Two Embarcadero Center, 8<sup>th</sup> Floor, San Francisco, CA 94111-3834, to insert herein above the application number and filing date of said application when known.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 01/12/00

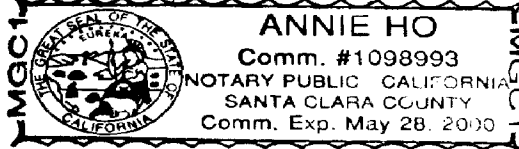
Wei-Hung Loh  
Wei-Hung Loh

STATE OF CALIFORNIA )

COUNTY OF Santa Clara ) SS.

On Jan. 12th, 2000, before me, Annie Ho, personally appeared Wei-Hung Loh, 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, 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.



Annie Ho  
NOTARY PUBLIC

My Commission Expires: May 28, 2000

Dated: 01/12/00

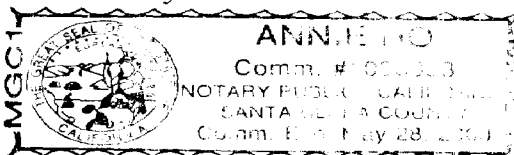
Feng-Qing Zhou  
Feng-Qing Zhou

STATE OF CALIFORNIA )

COUNTY OF Santa Clara ) SS.

On Jan. 12th, 2000, before me, Annie Ho, personally appeared Feng-Qing Zhou, 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, 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.



Annie Ho  
NOTARY PUBLIC

My Commission Expires: May 28, 2000

Dated: Dec 3, 1999

Jing-Jong Pan  
Jing-Jong Pan

STATE OF CALIFORNIA     )  
                                      )     ss.  
COUNTY OF                     )

On \_\_\_\_\_, before me, \_\_\_\_\_,  
personally appeared Jing-Jong Pan, 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, 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 PUBLIC

My Commission Expires: \_\_\_\_\_

PA 3028902 v1