

05-04-2000



101345478

To the Honorable Commissioner of Patent  
thereof.

attached original documents or copy

1. Name of conveying part(ies): **4.3.00**

Mark Anthony Cappuzzo  
Christopher Richard Doerr  
John VanAtta Gates  
Louis T. Gomez  
Dirk Joachim Muehlner

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

2. Name and address of receiving party(ies)

Name: Lucent Technologies Inc.

Street Address: 600 Mountain Avenue  
P.O. Box 636  
Murray Hill, NJ 07974-0636

Additional name(s) & address(es) attached?  Yes  No

10602 U.S. PTO  
 09/542096  
 04/03/00

3. Nature of conveyance:

Assignment                       Merger  
 Security Agreement             Change of Name  
 Other:

Execution Date: 03/10/00, 3/31/00, 3/27/00,  
03/12/00, 03/27/00

4. Application number(s) or patent number(s): **09/542096**

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)

Additional numbers attached?  Yes  No

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

Peter V. D. Wilde, Esq.  
Thomas, Kayden, Horstemeyer & Risley  
100 Galleria Parkway  
Suite 1500  
Atlanta, Georgia 30339

6. Total number of applications/patents involved:  1

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

Enclosed  
 Authorized to be charged to deposit account

8. Deposit Account Number:

12-2325  
 (Attach duplicate copy of this page if paying by Deposit Account)

05/03/2000 DNGUYEN 00000267 122325 09542096  
 01 FC:581                      **40.00 CH**

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.*

Peter V. D. Wilde                      *Peter V. D. Wilde*                      APR 03 2000  
 Name of Person Signing                      Signature                      Date

Lucent #:                      Total number of pages including cover sheet, attachments, and document:

## ASSIGNMENT AND AGREEMENT

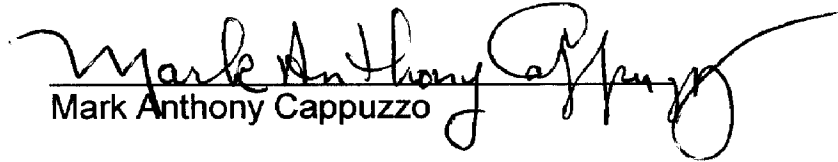
For value received, we, Mark Anthony Cappuzzo of Succasunna in the County of Morris and State of New Jersey, Christopher Richard Doerr of Middletown in the County of Monmouth and State of New Jersey, John VanAtta Gates of New Providence in the County of Union and State of New Jersey, Louis T. Gomez of North Plainfield in the County of Somerset and State of New Jersey, and Dirk Joachim Muehlner of Berkeley Heights in the County of Union and State of New Jersey hereby sell, assign and transfer to Lucent Technologies Inc., a corporation of the State of Delaware, having an office at 600 Mountain Avenue, Murray Hill, New Jersey 07974-0636, U.S.A., and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to **TUNABLE OPTICAL WAVEGUIDES** described in an application for Letters Patent of the United States, executed by us of even date herewith, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to Lucent Technologies Inc. the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

We authorize Lucent Technologies Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of Lucent Technologies Inc. to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We request that any and all patents for said inventions be issued to Lucent Technologies Inc. in the United States and in all countries foreign to the United States, or to such nominees as Lucent Technologies Inc. they may designate.

We agree that, when requested, we shall, without charge to Lucent Technologies Inc. but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.

  
Mark Anthony Cappuzzo

Date: 3-10-00

United States of America )

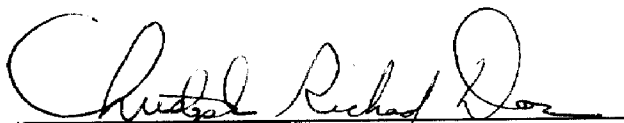
State of N.J. ) ss.: 153-52-6769

~~City of Murray Hill~~ )

County of: Morris )  
On this 10 day of March, 2000, before me personally came Mark Anthony Cappuzzo, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

  
Notary Public

CHARLENE ADAMS  
NOTARY PUBLIC OF NEW JERSEY  
My Commission Expires July 31, 2001



Christopher Richard Doerr

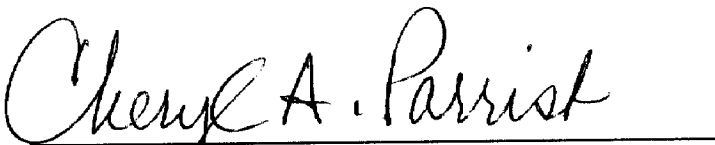
Date: 3/31/2000

United States of America )

State of ) ss.:

County of )

On this 31 day of March, 19 2000, before me personally came Christopher Richard Doerr, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.



Notary Public

My Commission Expires  
06-04-2004

John VanAtta Gates  
John VanAtta Gates

Date: 3/27/2000

United States of America )


State of NJ ) ss.:

County of Union )

On this 27th day of March, ~~19~~ 2000, before me personally came John VanAtta Gates, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Jacqueline J. Moskowitz  
Notary Public

**JACQUELINE J. MOSKOWITZ**  
**NOTARY PUBLIC OF NEW JERSEY**  
**My Commission Expires 01/22/2003**

  
Louis T. Gomez

Date: 3-10-00

United States of America )

State of N.J. ) ss.: 148-34-3558

County of SOMERSET )  
~~UNION~~

On this 10 day of March, 2000, before me personally came Louis T. Gomez, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

  
Notary Public

*Dirk Joachim Muehlner*

Dirk Joachim Muehlner

Date: 3/27/00

United States of America )

State of NY ) ss.:

County of Westchester )

On this 27<sup>th</sup> day of March, 192000, before me personally came Dirk Joachim Muehlner, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

*Jacqueline J. Moskowitz*  
Notary Public

**JACQUELINE J. MOSKOWITZ**  
**NOTARY PUBLIC OF NEW JERSEY**  
**My Commission Expires 01/22/2003**

Lucent Technologies Inc.  
600 Mountain Avenue (Room 3C-512)  
P. O. Box 636  
Murray Hill, New Jersey 07974-0636