

06-09-2000

HEET

Attorney Ref. No. 429981/009

101376785

To the Honorable Commissioner of Patents and Trademarks, attached original documents or copy thereof.

1. Name of conveying party(ies):

Seng-Tiong Ho

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

2. Name and Address of receiving party(ies)

Name:

Northwestern University
633 Clark Street
Evanston, Illinois 602081c571 U.S. PTO
09/574835
05/19/00Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Date: May 19, 2000

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: May 19, 2000

A. Patent Application No.(s)

09/574835

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

STROOCK & STROOCK & LAVAN LLP
180 Maiden Lane
New York, New York 10038-49826. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41)..... \$ 40.00☐ Enclosed☒ Any deficiency is authorized to be charged to
Deposit Account No. 19-47098. ☒ Charge to Deposit Account No. 19-4709

(Attach duplicate copy of this page if paying by deposit account)

06/08/2000 DNGUYEN 00000250 194709 09574835

DO NOT USE THIS SPACE

01 FC:581 40.00 CH

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.

Steven B. Pokotilow, Reg. No. 26,405

Name of Person Signing

Signature

May 19, 2000

Date

Total number of pages including cover sheet, attachments, and document: 3Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

Received: 5/19/00 2:49PM;

MAY 19 '00 12:46PM NU TECH TRANSFER

7084913625 -> STROOCK 180 MAIDEN LANE; Page 2

05/17/2000 16:55 8478646590
05/17/00 17:43 FAX 306 887 0650

NANO VATION TECH INC
NANO VATION TECHNOLOGIES

P.2
84

nt by: STROOCK @ 180 MAIDEN LANE

212 806 8008;

05/17/00 1:03PM; Jettex #494; Page 22/23

skat No.
1981/009
PLAB:pd

ASSIGNMENT

WHEREAS, I Seng-Tiong Ho, citizen of Singapore, residing at 120 Picardy Lane, Wheeling, Illinois, 60090, hereinafter referred to as ASSIGNOR, have invented certain new and useful improvements in NANOPHOTONIC DIRECTIONAL COUPLER DEVICE for which I have executed and filed an application for Letters Patent of the United States on even date herewith;

WHEREAS, Northwestern University, a U.S. University, having its principal place of business at 633 Clark Street, Evanston, Illinois, 60208, hereinafter referred to as ASSIGNEE is desirous of obtaining the entire right, title and interest in, to and under the improvements and the application;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, I, the ASSIGNOR, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the ASSIGNEE, its respective successors, legal representatives and assigns, my entire right, title and interest in, to and under the improvements, and the application and all divisions, renewals, continuations and continuations-in-part thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all applications for Letters Patent which may hereafter be filed for the improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for the improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and I hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for the improvements to the ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND I HEREBY covenant that I have full right to convey the entire interest herein assigned, and that I have not executed, and will not execute, any agreement in conflict herewith.

AND I HEREBY further covenant and agree that I will communicate to the ASSIGNEE, its successors, legal representatives and assigns, any facts known to me respecting the improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do

975044v1

Received: 5/19/00 2:49PM;

7084913625 -> STROOCK 180 MAIDEN LANE; Page 3

MAY 19 '00 12:46PM NU TECH TRANSFER

05/17/2000 15:55 8478645590

05/17/00 17:44 FAX 305 887 0830

NANOVAION TECH INC

NANOVAION TECHNOLOGIES

P.3 05
006

int by: STROOCK @ 180 MAIDEN LANE

212 808 6008;

05/17/00 1:06PM; JaxFax #404; Page 28/28

everything possible to aid the ASSIGNEE, his successors, legal representatives and assigns, to obtain and enforce proper patent protection for the improvements in all countries.

IN TESTIMONY WHEREOF, I have set my hand and seal to this Assignment.

19 May 2000

SENG-TIONG HO

State of)

) ss:

County of)

On this ____ day of _____, 2000 before me, a Notary Public in and for the State and County aforesaid, personally appeared SENG-TIONG HO, to be known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

979664v1