

07-14-2000

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To the Honorable Commissioner of Patents.

101403594

original documents or copy thereof.

1. Name of conveying party(ies): **Federico Capasso (1)**
Alfred Yi Cho (1)
Sung-Nee George Chu (2)
Claire F. Smachl (2)
Ruedeger Koehler (3)
Deborah Lee Sivco (4)
Alessandro Tredicucci (3)

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

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other

Execution Date: (1) 5/18/00 (2) 5/22/00 (3) 6/6/00 (4) 5/19/00

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

Name: **Lucent Technologies Inc.**

Internal Address: _____

Street Address: **600 Mountain Avenue, P. O. Box 636**

City: **Murray Hill** State: **NJ** Zip: **07974-0636**

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

*Herby certify that this correspondence is being
deposited with the United States Postal Service
but does not in an envelope addressed to:
Commissioner of Patents and Trademarks, Wash-
ington, D.C. 20231, on June 13, 2000
Date of Deposit
Sheila Cole 6/13/2000*

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: :

A. Patent Application No.(s)

B. Patent No. (s)

09/512757

Additional numbers attached? ☐ Yes ☒ No

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

Name: **Docket Administrator**

Internal Address: **Room 3C-512**

Street Address: **600 Mountain Avenue**

P. O. Box 636

City: **Murray Hill**, State: **New Jersey**, Zip: **07974-0636**

6. Total number of applications and 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)

07/13/2000 00000002 122325 09512757

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40.00 CH

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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.

Martin I. Finston Reg. No. 331613

June 13, 2000

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: 17

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

ASSIGNMENT AND AGREEMENT

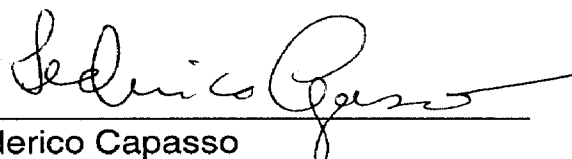
For value received, we, Federico Capasso, of Westfield in the County of Union and the State of New Jersey, and Alfred Yi Cho, of Summit in the County of Union and the State of New Jersey, and Sung-Nee George Chu, of Murray Hill in the County of Union and the State of New Jersey, and Claire F. Gmachl, of New Providence in the County of Union and the State of New Jersey, and Ruedeger Koehler, of Berlin, Fed. Rep. of Germany, and Deborah Lee Sivco, of Warren in the County of Somerset and the State of New Jersey, and Alessandro Tredicucci, of Chiavari, Italy 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 **Apparatus Comprising A Quantum Cascade Laser Having Improved Distributed Feedback For Single-Mode Operation** described in an application for Letters Patent of the United States, Serial No. 09/512757, filed February 25, 2000, 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. 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.



Federico Capasso


Date: 5/18/00

United States of America)

State of NY) ss.:

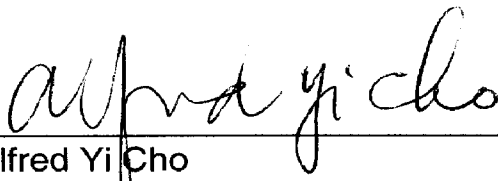
County of Union)

On this 18th day of May, 2000, before me personally came, Federico Capasso to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.



Notary Public

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



Alfred Yi Cho


Date: May 18, 2000

United States of America)

State of New Jersey) ss.:

County of Union)

On this 18th day of May, 2000, before me personally came, Alfred Yi Cho to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.



Notary Public

SHEILA R. COLE
A NOTARY PUBLIC OF NEW JERSEY
My Commission Expires 10/18/2000

Sung-Nee George Chu
Sung-Nee George Chu

Date: 5/22/2000

United States of America)

State of New Jersey) ss.:

County of Union)

On this 22nd day of May, 2000, before me personally came, Sung-Nee George Chu to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Sheila R. Cole
Notary Public

SHEILA R. COLE
A NOTARY PUBLIC OF NEW JERSEY
My Commission Expires 10/18/2008



Claire F. Gmachl

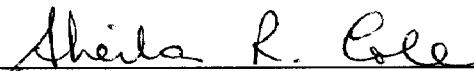
Date: 5/22/2000

United States of America)

State of New Jersey) ss.:

County of Union)

On this 22nd day of May, 2000, before me personally came, Claire F. Gmachl to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.



Notary Public

SHEILA R. COLE
A NOTARY PUBLIC OF NEW JERSEY
My Commission Expires 10/18/2000

Ruedeger Koehler

Date: _____

On this _____ day of _____, 20____, before
me personally came, Ruedeger Koehler to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged
execution of the same.

Notary Public

Deborah L. Sivco
Deborah Lee Sivco

Date: 5-19-00

United States of America)

State of New Jersey) ss.:

County of Union)

On this 19th day of May, 2000, before me personally came, Deborah Lee Sivco to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Sheila R. Cole
Notary Public

**SHEILA R. COLE
A NOTARY PUBLIC OF NEW JERSEY
My Commission Expires 10/18/2000**

Alessandro Tredicucci

Date: _____

On this _____ day of _____, 20____, before
me personally came, Alessandro Tredicucci to me known to be the individual
described in and who executed the foregoing instrument, and acknowledged
execution of the same.

Notary Public

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