

7.17.00

PATENT

Applicant: JOHN E. BOWERS; BIN LIU; PATRICK ABRAHAM; BOO-GYOUN KIM; ALI SHAKOURI
Serial No.: 09/425,543
Filed: October 22, 1999
Title: FUSED VERTICAL COUPLER FOR SWITCHES, FILTERS AND OTHER ELECTRO-OPTIC DEVICES

Group:
Examiner:
Docket No.: UC98-080-2

08-10-2000



BOX ASSIGNMENT
Assistant Commissioner for Patents
Washington, D.C. 20231

101428812

ASSIGNMENT (DOCUMENT) COVER LETTER
PATENT OR PATENT APPLICATION

1. NAMES OF PARTY(IES) MAKING TRANSFER

- Name 1: JOHN E. BOWERS
- Name 2: BIN LIU
- Name 3: PATRICK ABRAHAM
- Name 4: BOO-GYOUN KIM
- Name 5: ALI SHAKOURI

09-425543

2. IDENTITY OF PARTY(IES) TO WHOM TRANSFER IS MADE

This transfer is being made to:

Name: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
Address: 1111 FRANKLIN STREET, 12TH FLOOR
OAKLAND, CA 94607-5200

3. INTENTION OF DOCUMENT

A brief description of what the accompanying document intends to accomplish is that it is an:

- Assignment
- License
- Security Interest
- Other

4. **IDENTIFICATION OF PATENT OR APPLICATION**

Particulars of the patent or application to which the accompanying document applies are:

Inventor(s): JOHN E. BOWERS; BIN LIU; PATRICK ABRAHAM; BOO-GYOUN KIM; ALI SHAKOURI

For (title): FUSED VERTICAL COUPLER FOR SWITCHES, FILTERS AND OTHER ELECTRO-OPTIC DEVICES

- (a) U.S. patent application filed herewith.
- (b) U.S. patent application serial no. 09/425,543 filed on OCTOBER 22, 1999.
- (c) U.S. patent no. _____ issued _____.

5. **NAME AND ADDRESS TO WHICH CORRESPONDENCE SHOULD BE MAILED**

Please address all correspondence and return the recorded document to:

John P. O'Banion
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814

6. **NUMBER OF APPLICATIONS OR PATENTS IDENTIFIED AND TOTAL FEE DUE**

The number of applications or patents identified herein is: 1

Total Fee Due \$ 40.00

7. **DATE DOCUMENT WAS EXECUTED**

The accompanying document was executed on: 12/17/99

8. **FEE PAYMENT**

Fee payment is provided for as follows:

- New Application transmittal (Item 18 - INCLUDED IN FILING FEE)
- FWC Transmittal (Item VII)

Transmittal of Filing under 37 CFR 1.60(b) (Item 11)

Attached is a check in the sum of \$40.00

Charge Account No. 07-1137 if any additional fee is due.


Charge Account No. _____ in the sum of _____ A duplicate of this transmittal is attached.

9. **STATEMENT OF AUTHENTICITY**

The undersigned certifies that, to the best of his or her knowledge and belief, the information contained in this cover sheet is true and correct, and any copy of the document submitted for recording is a true copy of the original document.

10. **SIGNATURE**

Dated: 1/10/2000



John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010

man
1/13/00

02-11-2000

PATENT



101266362

ALI SHAKOURI

Applicant: JOHN E. BOWERS; BIN LIU; P
Serial No.: 09/425,543
Filed: October 22, 1999
Title: FUSED VERTICAL COUPLER FOR SWITCHES, FILTERS AND OTHER ELECTRO-
OPTIC DEVICES

Group:
Examiner:
Docket No.: UC98-080-2



BOX ASSIGNMENT
Assistant Commissioner for Patents
Washington, D.C. 20231

ASSIGNMENT (DOCUMENT) COVER LETTER
PATENT OR PATENT APPLICATION

1. NAMES OF PARTY(IES) MAKING TRANSFER

- Name 1: ROBERT E. BOWERS
- Name 2: BIN LIU
- Name 3: PATRICK ABRAHAM
- Name 4: BOO-GYOUN KIM
- Name 5: ALI SHAKOURI

2. IDENTITY OF PARTY(IES) TO WHOM TRANSFER IS MADE

This transfer is being made to:

Name: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
Address: 1111 FRANKLIN STREET, 12TH FLOOR
OAKLAND, CA 94607-5200

3. INTENTION OF DOCUMENT

A brief description of what the accompanying document intends to accomplish is that it is an:

- Assignment
- License
- Security Interest
- Other

02/10/2000 TTON11 0000021 09425543 40.00 DP 01 FC:501

4. **IDENTIFICATION OF PATENT OR APPLICATION**

Particulars of the patent or application to which the accompanying document applies are:

Inventor(s): JOHN E. BOWERS; BIN LIU; PATRICK ABRAHAM; BOO-GYOUN KIM; ALI SHAKOURI

For (title): FUSED VERTICAL COUPLER FOR SWITCHES, FILTERS AND OTHER ELECTRO-OPTIC DEVICES

- (a) U.S. patent application filed herewith.
- (b) U.S. patent application serial no. 09/425,543 filed on OCTOBER 22, 1999.
- (c) U.S. patent no. _____ issued _____.

5. **NAME AND ADDRESS TO WHICH CORRESPONDENCE SHOULD BE MAILED**

Please address all correspondence and return the recorded document to:

John P. O'Banion
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814

6. **NUMBER OF APPLICATIONS OR PATENTS IDENTIFIED AND TOTAL FEE DUE**

The number of applications or patents identified herein is: 1

Total Fee Due \$ 40.00

7. **DATE DOCUMENT WAS EXECUTED**

The accompanying document was executed on: 12/17/99

8. **FEE PAYMENT**

Fee payment is provided for as follows:

- New Application transmittal (Item 18 - INCLUDED IN FILING FEE)
- FWC Transmittal (Item VII)

EXHIBIT B

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

Name: JOHN E. BOWERS
 Address: 4601 SIERRA MADRE
 SANTA BARBARA, CA 93110
 Nationality: U.S. CITIZEN

Name: BIN LIU
 Address: 705 BOLTON WALK, APT. 201
 GOLETA, CA 93117
 Nationality: CITIZEN OF CHINA

Name: PATRICK ABRAHAM
 Address: 730 CIENEGUITAS ROAD, APT. F
 SANTA BARBARA, CA 93110
 Nationality: CITIZEN OF FRANCE

Name: BOO-GYOUN KIM
 Address: 801-802 DONGA APARTMENTS
 MOKRYEON DANJI, PYEONG CHONG
 ANYANG, JYUNGI DO
 KOREA
 Nationality: CITIZEN OF KOREA

Name: ALI SHAKOURI
 Address: 3999 VIA LUCERO, APT. A-13
 SANTA BARBARA, CA 93110
 Nationality: CITIZEN OF IRAN

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE:

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, A CALIFORNIA CORPORATION, 111 FRANKLIN STREET, 12th Floor, OAKLAND, CA 94607-5200,

and the successors, assigns and legal representatives of the ASSIGNEE, the entire right, title and interest for the United States and its territorial possessions and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled:

FUSED VERTICAL COUPLER FOR SWITCHES, FILTERS AND OTHER ELECTRO-OPTIC DEVICES

and which is found in

- (a) U.S. provisional patent application filed herewith and listing the above named person(s) as inventor(s).
- (b) U.S. patent application filed herewith listing the above named person(s) as inventor(s).
- (c) U.S. patent application serial no. 09/425,543, filed on OCTOBER 22, 1999.
- (d) U.S. Patent No.: _____, issued _____.

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

Name: JOHN E. BOWERS
 Address: 4601 SIERRA MADRE
 SANTA BARBARA, CA 93110
 Nationality: U.S. CITIZEN

Name: BIN LIU
 Address: 705 BOLTON WALK, APT. 201
 GOLETA, CA 93117
 Nationality: CITIZEN OF CHINA

Name: PATRICK ABRAHAM
 Address: 730 CIENEGUITAS ROAD, APT. F
 SANTA BARBARA, CA 93110
 Nationality: CITIZEN OF FRANCE

Name: BOO-GYOUN KIM
 Address: 801-802 DONGA APARTMENTS
 MOKRYEON DANJI, PYEONG CHONG
 ANYANG, JYUNGI DO
 KOREA
 Nationality: CITIZEN OF KOREA

Name: ALI SHAKOURI
 Address: 3999 VIA LUCERO, APT. A-13
 SANTA BARBARA, CA 93110
 Nationality: CITIZEN OF IRAN

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE:

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, A CALIFORNIA CORPORATION, 111 FRANKLIN STREET, 12th Floor, OAKLAND, CA 94607-5200,

and the successors, assigns and legal representatives of the ASSIGNEE, the entire right, title and interest for the United States and its territorial possessions and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled:

FUSED VERTICAL COUPLER FOR SWITCHES, FILTERS AND OTHER ELECTRO-OPTIC DEVICES


and which is found in

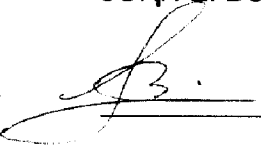
- (a) U.S. provisional patent application filed herewith and listing the above named person(s) as inventor(s).
- (b) U.S. patent application filed herewith listing the above named person(s) as inventor(s).
- (c) U.S. patent application serial no. 09/425,543, filed on OCTOBER 22, 1999.
- (d) U.S. Patent No.: _____, issued _____.

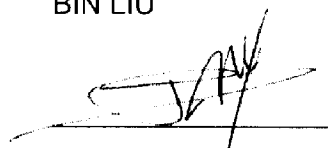
and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property; ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

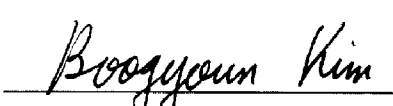
ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said Invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.


AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, the Regents of the University of California.

Date: 12/6/99 Inventor: 
JOHN E. BOWERS

Date: 12/13/99 Inventor: 
BIN LIU

Date: 12/13/99 Inventor: 
PATRICK ABRAHAM

Date: 12/17/99 Inventor: 
BOO-GYOUN KIM

Date: 12/9/99 Inventor: 
ALI SHAKOURI