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Practitioner's Docket No. U012294-1

02-13-2001

PATENT

MEP  
11-16-00

IN THE UNITED STATES I



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101611836

Box Assignments  
Commissioner of Patents and Trademarks  
Washington, D.C. 20231



NOTE: "Documents and cover sheets to be recorded should be addressed to Assistant Commissioner for Patents, Box Assignments, Washington, D.C. 20231, unless they are filed together with new applications or with a petition under § 3.81(b)." 37 C.F.R. § 3.27.

**ASSIGNMENT (DOCUMENT) COVER SHEET (37 C.F.R. § 3.31)**

NOTE: "A cover sheet may not refer to both patents and trademarks." 37 C.F.R. § 3.31(b).

Attached please find an assignment (document) for recordal.

2-8-01

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is **mandatory**;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10\*

☒ with sufficient postage as first class mail.

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11/17/2000 NTHA11

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**TRANSMISSION**

☒ transmitted by facsimile to the Patent and Trademark Office

Signature

Clifford J. Mass

(type or print name of person certifying)

Date: October 12, 2000

**\*WARNING:** Each paper or fee filed by "Express Mail" **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).  
"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Assignment (Document) Cover Sheet—page 1 of 6) 16-6

40E

**PATENT**  
**REEL: 011501 FRAME: 0844**

**IDENTIFICATION OF APPLICATION(S) AND/OR PATENT(S)  
FOR ASSIGNMENT (DOCUMENT) RECORDAL**  
(37 C.F.R. § 3.21 and 37 C.F.R. § 3.31(a)(4))

NOTE: See 37 C.F.R. §3.21.

NOTE: § 3.21 does not apply to documents other than assignment. Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

1. This assignment is for the following patent application or issued patent:

NOTE: Do NOT enter both application AND patent number.

National application: SN: 09/345,027

filed on July 2, 1999

Provisional application:

filed on

International application: PCT

Patent No:

Issued:

(complete if applicable) which was previously assigned and recorded

Date July 26, 1999

Reel 010120

Frame 0144

NOTE: If an assignment of a patent application filed under § 1.53(b) is executed concurrently with, or subsequent to, the execution of the patent application, but before the patent application is filed, it must identify the patent application by its date of execution, name of each inventor, and title of the invention so that there can be no mistake as to the patent application intended. If an assignment of a provisional application under § 1.53(c) is executed before the provisional application is filed, it must identify the provisional application by name of each inventor and title of the invention so that there can be no mistake as to the provisional application intended. 37 C.F.R. § 3.21.

(also complete the following, if applicable)

[ ] and also for the applications and/or patents  
shown on the attached list of FURTHER  
APPLICATION(S) and/or PATENT(S) BEING ASSIGNED

Number of pages added \_\_\_\_\_

NOTE: "Where there is a listing of properties contained within a document, any listing may be copied and attached to the cover sheet to reduce the amount of typing necessary. A notation of this attachment can be made in lieu of entering every property identification number on the cover sheet." Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

**TOTAL NUMBER OF APPLICATIONS AND/OR PATENTS  
AND TOTAL FEE**

NOTE: All requests to record documents must be accompanied by the appropriate fee; a fee is required for each application or patent against which the document is recorded as identified in the cover sheet. The recording fee is set in § 1.21(h). 37 C.F.R. §3.41.

2. A. The total number of applications and/or patents identified in this cover sheet is 1

B. The total fee is (37 C.F.R. § 1.21(h)):

1 x \$40.00 = \$ 40.00  
Total number of applications  
and/or patents

C. Payment of fee is made by:

☒ the attached check for \$ 40.00.

☐ Please charge Account \_\_\_\_\_

the sum of \$ \_\_\_\_\_.

A duplicate of this cover sheet is attached.

Please charge Account 12-0425 for any fee deficiency or credit to account any overpayment.

**NAME OF PARTY(IES) CONVEYING INTEREST**

(37 C.F.R. § 3.31(a)(1))

*NOTE* "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the documents." Notice of June 24, 1992 (1140 O.G. 63-72, at 65); M.P.E.P. § 302.07, 6th ed.

3. The party(ies) conveying interest is (are):

Name 1: Photonic Technologies PTY. LTD.

Name 2:

Name 3:

**NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST**

(37 C.F.R. § 3.31 (a)(2))

4. The rights are being conveyed to:

Name: Nortel Networks (Photonics) PTY LTD

Address: Australian Technology Park  
Eveleigh NSW 1430, Australia

**DESCRIPTION OF INTEREST CONVEYED OR  
TRANSACTION RECORDED (37 C.F.R. § 3.31 (a)(3))**

5. The accompanying document intends to accomplish:

- ☐ an assignment.
- ☐ a security agreement.
- ☐ a merger.
- ☐ a license.
- ☒ a change of name.
- ☐ a change of address.
- ☐ other:

**NAME AND ADDRESS OF PARTY TO WHOM**

(Assignment (Document) Cover Sheet—page 3 of 6) 16-6

6. Please address correspondence to:

Name: Clifford J. Mass  
Address: c/o Ladas & Parry  
26 West 61<sup>st</sup> Street  
New York, New York 10023  
Telephone No.: (212) 708- 1890

**DATE ASSIGNMENT (DOCUMENT) EXECUTED**  
(37 C.F.R. § 3.31(a)(7))

7. A. ☐ The attached assignment (document) was executed on \_\_\_\_\_  
Date

**OR** *If there is more than one conveying party who executed on different dates, indicate the date of execution of the assignment document for each conveying party.*

B. ☒ The attached assignment was executed by Steven James Frisken  
Name

on June 11, 1999  
Date

☒ The attached assignment was executed by John William Arkwright  
Name

on June 21, 1999  
Date

☒ The attached assignment was executed by Peter Collin Hill  
Name

on June 16, 1999  
Date

☒ The attached assignment was executed by Photonic Technologies PTY. LTD.  
Name

on June 22, 1999  
Date

☐ The attached assignment was executed by \_\_\_\_\_  
Name

on \_\_\_\_\_  
Date

## LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED

*NOTE: "The Office will accept and record non-English language documents only if accompanied by an English translation signed by the individual making the translation," 37 C.F.R. § 3.26.*

8. The attached document:

- ☒ is in the English language.  
☐ is not in the English language and an English translation signed by the individual making the translation is attached.

## ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

*NOTE: See 37 C.F.R. § 3.24.*

9. Submitted herewith is:

- ☐ the original document.  
☒ a true copy of the original document, which I certify to be a true copy.

*NOTE: "If the original [assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 C.F.R. § 3.24] by providing a true copy of the original document using only one side of each page on the correct size paper." Notice of June 24, 1992, 1140 O.G. 63-76, at 67.*

*NOTE: "Certification shall be made by the person submitting a copy of an original document that the document submitted is a true copy of the original. The certification is not required to be in an oath or declaration form." M.P.E.P., 6th ed., § 302.01.*

## ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF ADDRESS

*(check item, if applicable)*

10. ☐ Because the purpose of the attached documents is to record a change of address of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

*NOTE: "Attach Change of Address 16-6."*

## ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF NAME

*(check item, if applicable)*

11. ☒ Because the purpose of the attached documents is to record a change of name of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

*NOTE: "Attach Change of Name."*

# CHANGE OF PATENT MAINTENANCE FEE ADDRESS

(check item, if applicable)

12. ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent to the Office separately.

## STATEMENT (37 C.F.R. § 3.31(a)(9)) AND SIGNATURE (37 C.F.R. § 3.31(a)(10))

13. 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.

NOTE: "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the document." Notice of June 24, 1992, 1140 O.G. 63-76, at 65; M.P.E.P. § 302.07 6th ed.

Date: October 12, 2000

\_\_\_\_\_  
Name of party submitting document

\_\_\_\_\_  
Signature of party submitting document

(complete the following if the party submitting the document  
is applicant/attorney)

\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

\_\_\_\_\_  
Clifford J. Mass

(type or print name of practitioner)

\_\_\_\_\_  
P.O. Address

\_\_\_\_\_  
c/o Ladas & Parry  
26 West 61<sup>st</sup> Street  
New York, N.Y. 10023

Reg. No.: 30,086

Tel. No.: (212) 708-1890

Customer No.:

## TOTAL NUMBER OF PAGES BEING SUBMITTED

14. The total number of pages being submitted, including cover sheet attachment(s), and documents are:

\_\_\_\_\_  
9  
Total number of pages submitted

(Assignment (Document) Cover Sheet—page 6 of 6) 16-6



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

[ ] In re application of: Steven James Frisken, et al  
Application No.: 09/345,027 Group No.: 2872  
Filed: July 2, 1999 Examiner:  
For: REFLECTIVE NON-RECIPROCAL OPTICAL DEVICE

[ ] Patent No.\*: \_\_\_\_\_ Issued: \_\_\_\_\_

*\*NOTE: Insert name(s) of inventor(s) and title also for patent. Where change is with respect to a maintenance fee payment, also insert application serial number and filing date and add Box M, Fee to address.*

CHANGE OF NAME OF ASSIGNEE

1. Particulars of assignment

An assignment has been recorded in the Patent and Trademark Office for this invention on  
July 26, 1999

Reel 010120

Frame 0144

*NOTE: When requesting correction or updating of a previously recorded assignment document, providing the reel and frame number of that document will greatly expedite the recording process. Helpful Hints published September 30, 1986, 1070 O.G. 47 to 59 at 53.*

*(if available, the PTO finds it useful if a copy of the assignment is also sent)*

[x] A copy of the recorded assignment is attached.

2. Old name of assignee

The old name of the assignee shown on the above assignment is Photonic Technologies PTY. LTD.

\_\_\_\_\_  
*(type or print old name of Assignee)*

3. New name of assignee

The new name of the assignee is Nortel Networks (Photonics) PTY LTD

\_\_\_\_\_  
*(type or print new name of Assignee)*

(Change of Name of Assignee—page 1 of 2) 16-11

#### 4. Proof of change of name

Proof of change of name is established by the attached

☐ certificate of the Secretary of State of \_\_\_\_\_, showing the name change.  
(type name of state)

☒ certificate of name change from the following authority:

Australian Securities and Investments Commission

(type or print name of authority)

(check, if applicable)

☐ Because the certificate is not in the English language, it is accompanied by a verified translation signed by the translator.

#### 5. Change of patent maintenance fee address

(complete, if applicable)

☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

#### 6. Payment of fee

NOTE: See 37 CFR 1.21(h).

Please refer to the "ASSIGNMENT (DOCUMENT) COVER SHEET," to which this paper is attached.

Reg. No.: 30,086

Tel. No.: (212) 708-1890

Customer No.:

  
\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

Clifford J. Mass

(type or print name of practitioner)

Ladas & Parry

26 W. 61<sup>st</sup> Street

P.O. Address

New York, NY 10023

(Change of Name of Assignee—page 2 of 2) 16-11



BAKER & MCKENZIE  
ATTN: JOANNE BEATHE  
Level 26 Amp Centre  
50 Bridge Street  
SYDNEY NSW 2000



I certify that this is a true and correct copy of the  
original document sighted by me.

*Reverah Jay*  
Solicitor of the Supreme Court of New South Wales

Remove this top section if desired before framing

## Certificate of Registration on Change of Name



This is to certify that

**PHOTONIC TECHNOLOGIES PTY. LTD.**

**Australian Company Number 060 030 435**

did on the twenty-eighth day of June 2000 change its name to

**NORTEL NETWORKS (PHOTONICS) PTY LTD**

**Australian Company Number 060 030 435**

The company is a proprietary company.

The company is limited by shares.

The company is registered under the Corporations Law of  
New South Wales and the date of commencement of  
registration is the twenty-first day of May, 1993.

Issued by the  
Australian Securities and Investments Commission  
on this twenty-eighth day of June, 2000.

*Alan Cameron*

Alan Cameron  
Chairman

CERTIFICATE

ASSIGNMENT

In consideration of Ten Dollars (\$10.00) and other good and valuable consideration of which we acknowledge receipt, we,

NAME OF INVENTORS

Steven James Frisken  
John William Arkwright  
Peter Collin Hill

residing at:

267 Darley Road  
RANDWICK NSW 2031  
AUSTRALIA

5/206 Oberon Street  
COOGEE NSW 2034  
AUSTRALIA

57 King Street  
GLENBROOK NSW 2773  
AUSTRALIA

respectively

sell and assign to:

PHOTONIC TECHNOLOGIES PTY LTD

A Corporation of The State of New South Wales, Australia

having its principal place of business at:

Australian Technology Park  
EVELEIGH NSW 1430  
AUSTRALIA

hereinafter referred to as the assignee, its successors and assigns, my entire right, title and interest in and to the improvements in:

REFLECTIVE NON-RECIPROCAL OPTICAL DEVICE

invented by me, as described in the application for United States patent executed concurrently herewith and any legal equivalent thereof in any foreign country.

and any and all divisions, reissues, continuations and extensions thereof, and authorize and request any official whose duty it is to issue patents, to issue any patent on said improvements or resulting therefrom to said assignee or its successors or assigns, and agree to testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid said assignee, its successors, assigns, and nominees to obtain and enforce proper patent protection for said invention in the United States of America and any foreign country.

Subscribed and executed at *Photonic Technologies,*  
on 22 June 1999.

NAME: Steven James Frisken

SIGNATURE: *St Frisken*

Date: 11<sup>th</sup> June 1999

NAME: John William Arkwright

SIGNATURE: *John Arkwright*

Date: 21<sup>st</sup> JUNE 1999

NAME: Peter Collin Hill

SIGNATURE: *Peter Collin Hill*

Date: 16<sup>th</sup> June 1999

NAME: PHOTONIC TECHNOLOGIES PTY LTD

SIGNATURE: *Ralph Betts*

NAME: *RALPH BETTS*

POSITION: *Managing Director*

Date: *22 June 1999*