

FORM PTO-1619A
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02-27-2001



U.S. Department of Commerce
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PATENT

101621779

**RECORDATION FORM COVER SHEET
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2.8.01

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

☒ New
☐ Resubmission (Non-Recordation)
Document ID#
☐ Correction of PTO Error
Reel # Frame #
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Reel # Frame #

Conveyance Type

☒ Assignment ☐ Security Agreement
☐ License ☐ Change of Name
☐ Merger ☐ Other
U.S. Government
(For Use ONLY by U.S. Government Agencies)
☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached Execution Date
Month Day Year

Name (line 1) Alistair J. Price

01/29/01

Name (line 2)

Second Party

Name (line 1) Thomas D. Stephens

Execution Date
Month Day Year

01/29/01

Name (line 2)

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) CORVIS Corporation

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2)

Address (line 1) 7015 Albert Einstein Drive

Address (line 2) P.O. Box 9400

Address (line 3) Columbia Maryland/USA. 21046-9400

City

State/Country

Zip Code

0954482

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

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02/26/2001 AAHMEB1 00000061 500477 09544482

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

PATENT
REEL: 011529 FRAME: 0875

Correspondent Name and Address

Area Code and Telephone Number 443-259-4046

Name Darren E. Wolf

Address (line 1) _____

Address (line 2) 9015 Albert Einstein Drive FLR - 8

Address (line 3) P.O. Box 9400

Address (line 4) Columbia, Maryland 21046-9400

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

3

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

<u>09/544,182</u>						

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month _____ Day _____ Year _____

Patent Cooperation Treaty (PCT)

Enter PCT application number

only if a U.S. Application Number
has not been assigned.

PCT _____ PCT _____ PCT _____
PCT _____ PCT _____ PCT _____

Number of Properties

Enter the total number of properties involved.

1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:
Deposit Account

Enclosed ☐ Deposit Account ☒

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

500477

Authorization to charge additional fees:

Yes ☒ No ☐

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. Charges to deposit account are authorized, as indicated herein.

DARREN WOLF

Name of Person Signing

Darren Wolf

Signature

Feb 5, 2001

Date

ASSIGNMENT OF INVENTION

For: ☒ U.S. and/or ☒ Foreign Rights
 For: ☒ U.S. Application or ☐ U.S. Provisional Application
 For: ☐ U.S. Patent
 For: ☐ PCT Application
 By: ☒ Inventor(s) or ☐ Present Owner

In consideration of the payment by ASSIGNEE(S) to ASSIGNOR(S) of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNOR(S)

Alistair J. Price	7015 Albert Einstein Drive, P.O. Box 9400, Columbia, MD 21046-9400	U.K.
name of Assignor	Address	Nationality

Thomas D. Stephens	7015 Albert Einstein Drive, P.O. Box 9400, Columbia, MD 21046-9400	Australian
name of Assignor	Address	Nationality

name of Assignor	Address	Nationality
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Recorded on _____ Reel _____ Frame _____

hereby sells, assigns and transfers to

ASSIGNEE(S):

Corvis Corporation	7015 Albert Einstein Drive, P.O. Box 9400, Columbia, Maryland 21046-9400	Delaware Corporation
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(name of ASSIGNEE)	Address	Nationality
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and the successors, assigns and legal representatives of the ASSIGNEE(S)

- ☒ the entire right, title and interest for the United States and its territorial possessions
- ☐ an undivided _____ percent (_____ %) 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:

Optical Upconverter Apparatuses, Methods, and Systems

and which is found in

- (a) ☐ U.S. patent application executed on even date herewith
- (b) ☐ U.S. patent application executed on __

- (c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention
☐ Express mail label no.: Mailed:
☐ To comply with 37 CFR 3.21 for recordal of this assignment, ASSIGNOR(S) signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.
- (d) ☒ U.S. application no.: 09/544,482 filed on April 7, 2000.
- (e) ☐ International application no. filed on
and amended on .
- (f) ☐ U.S. patent no. issued
☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.
- (g) ☒ 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, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.


ASSIGNOR(S) hereby covenants 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 covenants that ASSIGNEE(S) 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(S) and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE(S) or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and 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.

IN WITNESS WHEREOF, ASSIGNOR(S) have hereunto set hand and seal this:

WARNING: The date of signing must be the same as the date of execution of the declaration, if item (a) was checked above.

<u>Alistair J. Price</u>	<u>Alistair J. Price</u>	<u>1/29/2001</u>
Name of Assignor or	Signature of Assignor or	Date
Name & Title of Person entitled to sign on	Person entitled to sign on behalf of Assignor	
behalf of Assignor		

<u>Thomas D. Stephens</u>	<u></u>	<u>1/29/2001</u>
Name of Assignor or	Signature of Assignor or	Date
Name & Title of Person entitled to sign on	Person entitled to sign on behalf of Assignor	
behalf of Assignor		

<u> </u>	<u> </u>	<u> </u>
Name of Assignor or	Signature of Assignor or	Date
Name & Title of Person entitled to sign on	Person entitled to sign on behalf of Assignor	
behalf of Assignor		


Place of signing of assignment

City/County :Columbia/Howard County

State :Maryland

Country :United States of America

Before me this 29th day of January, 2001 personally appeared Alistair J. Price and Thomas D. Stephens, to me known to be the person(s) who ☐ is ☒ are described in and who executed the foregoing assignment instrument and acknowledged its contents of their own free will for the purpose therein expressed.



Notary Public or Consular Officer of the United States of America

Commission Expires: August 04, 2003

NOTE: Notarization of this document is only prima facie evidence of execution, 35 USC 261.