



05-23-2001

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FILE NO. A31657-PCT/USA

RECORDING COVER SHEET
PATENTS ONLYU.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

101728092

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):
David S. Levy, Robert Scarmozzino, Richard M. Osgood, Jr.
Additional name(s) of conveying party(ies) attached?
☐ Yes ☒ No

2. Name and address of receiving party(ies)
Name: THE TRUSTEES OF COLUMBIA UNIVERSITY
IN THE CITY OF NEW YORK

3. Nature of conveyance: **med 4-20-01**
☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Address: 116th Street & Broadway

City: New York State: NY Zip: 10027
Additional name(s) and address(es) attached? ☐ Yes ☒ No
Country: USA

Execution Date: 3/12/01, 3/03/01, 2/02/01

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)
09/674.821

B. Patent No.(s)

09674821

Additional numbers attached?

☐ Yes ☒ No

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

Name: Henry Tang

BAKER BOTTS L.L.P.

Address: 30 Rockefeller Plaza - 44 Fl.

City: New York State: NY Zip: 10112

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 :
02-4377 (Charge any additional fees to this account)
(Attach duplicate copy of this page if paying by deposit
account)

DO NOT USE THIS SPACE

9. Statement and signature

To the best of my knowledge and belief, the foregoing instrumentation is true and correct and any attached copy is a true copy of the
original document.

Henry Tang

Name of Person Signing

Signature

Date

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

04/25/2001 LLANDGRA 00000038 09674821

03 FC:581

40.00 DP

PATENT
REEL: 011816 FRAME: 0982

A S S I G N M E N T

WHEREAS, WE, DAVID S. LEVY, ROBERT SCARMOZZINO and RICHARD M. OSGOOD, JR., all citizens of the United States, residing in Seal Beach, County of Orange, State of California; Montrose, County of Westchester, State of New York; and Chappaqua, County of Westchester, State of New York, respectively, whose post office addresses are 4197 Birchwood Avenue, Seal Beach, CA 90740; 13 Lancaster Avenue, Montrose, NY 10548; and 345 Quaker Street, Chappaqua, NY 10514, respectively, have made an invention entitled "REDUCED SIZE MULTIMODE INTERFERENCE BASED COUPLER" as set forth and described in application for Letters Patent of the United States Serial No. 09/674,821, filed May 8, 1998; and

WHEREAS, THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK (hereinafter "COLUMBIA"), having its principal place of business at 116th Street & Broadway, New York, New York 10027, is desirous of acquiring the whole right, title and interest in and to said Letters Patent and any continuations, divisions, extensions, substitutions, reissues and reexaminations thereof;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, BE IT KNOWN, that WE, the said DAVID S. LEVY, ROBERT SCARMOZZINO and RICHARD M. OSGOOD, JR., for and in consideration of the sum of One Dollar (\$1.00), lawful money of the United States, to me in hand paid by said COLUMBIA, and other valuable considerations unto me moving from said COLUMBIA, at or before the ensealing and delivery of these presents, the receipt of which is hereby acknowledged, have sold, assigned, transferred and conveyed and by these presents do sell, assign, transfer and convey, unto said COLUMBIA, its successors and assigns, the entire right, title and interest in and to the said invention entitled "REDUCED SIZE MULTIMODE INTERFERENCE BASED COUPLER" as set forth and described in application for Letters Patent of the United States Serial No. 09/674,821, filed May 8, 1998 and any and all improvements thereon, and in and to said application and any division, continuation or continuation-in-part thereof, and in and to any Letters Patent of the United States which may be issued on any of said applications, and any reissues thereof, and in and to any and all applications for Letters Patent filed in foreign countries for said invention or improvements, including all priority rights under the Paris Convention, and any and all Letters Patent which may be granted in foreign countries therefor, TO HAVE AND TO HOLD THE SAME to the full end of the term or terms for which any and all said Letters Patent may be granted;

AND WE, the said DAVID S. LEVY, ROBERT SCARMOZZINO and RICHARD M. OSGOOD, JR., do hereby authorize and request the Commissioner of Patents and Trademarks to issue the said Letters Patent of the United States to said COLUMBIA, as the assignee of the entire right, title and interest in and to the same, for the sole use and behoof of said COLUMBIA, its successors and assigns;

AND WE, the said DAVID S. LEVY, ROBERT SCARMOZZINO and RICHARD M. OSGOOD, JR., for the considerations aforesaid, do hereby covenant and agree to

and with said COLUMBIA, its successors and assigns, that we have the full power to make this assignment, and that the rights assigned are not encumbered by any grant, license or right heretofore given, and that we, our executors or administrators, shall and will do all lawful acts and things and make, execute and deliver without further compensation, any and all other instruments in writing, further applications, papers, affidavits, powers of attorney, assignments, and other documents which, in the opinion of counsel for said COLUMBIA, its successors and assigns, may be required or necessary to more effectively secure to and vest in said COLUMBIA, its successors and assigns, the entire right, title and interest in and to said invention and improvements, applications, Letters Patent, rights, benefits, privileges and advantages hereby sold, assigned, transferred and conveyed, and that I will sign any applications for reissue which may be desired by the owner of the patent or patents which may be issued for the said invention or improvements.

IN WITNESS WHEREOF, WE, the said DAVID S. LEVY, ROBERT SCARMOZZINO and RICHARD M. OSGOOD, JR., have hereunto set our hands and seals on the date below written.


DAVID S. LEVY

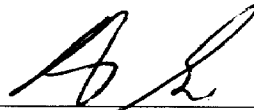
STATE OF NEW YORK)
 : ss.:
COUNTY OF NEW YORK)

BE IT KNOWN, that on this 12TH day of March, 2000¹, before me personally came DAVID S. LEVY, to me known and known to me to be the person mentioned in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed for the use and purposes therein mentioned.


Notary Public

S E A L

MARGARET CARDOSO
NOTARY PUBLIC OF NEW JERSEY
My Commission Expires Dec. 02, 2000



ROBERT SCARMOZZINO

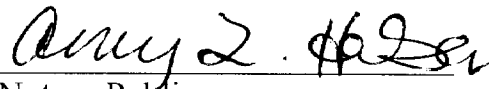
STATE OF NEW YORK)

: ss.:

COUNTY OF NEW YORK)

BE IT KNOWN, that on this 3rd day of March, 200~~0~~¹, before me personally came ROBERT SCHARMOZZINO, to me known and known to me to be the person mentioned in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed for the use and purposes therein mentioned.

AMY L. HABER
NOTARY PUBLIC, State of New York
No. 01HA5063858
Qualified in Queens County
Commission Expires July 29, 2002



Notary Public

S E A L



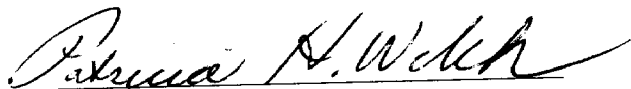
RICHARD M. OSGOOD, JR.

STATE OF NEW YORK)

: ss.:

COUNTY OF NEW YORK)

BE IT KNOWN, that on this 2nd day of FEBRUARY, 200~~0~~¹, before me personally came RICHARD M. OSGOOD, JR., to me known and known to me to be the person mentioned in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed for the use and purposes therein mentioned.



Notary Public

PATRICIA H. WELCH
Notary Public, State of New York
No. 01WE4812627
Qualified in Kings County
Commission Expires August 31, 2002

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