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| OMB No. 0651-0011 (exp. 4/94)   |                     |  | NOVA-17  |
| To the Honorable Commission of Pate   | 739060              | ched original o  | locuments or copy thereof.                                 |
|   |                     | e and address of re  | ceiving party(ies)   |
| 1. Name of conveying party(ies):  Yu-Hwa Lo Zuhua Zhu   | Nam                 | e: NOVA CRYSTA   | ALS, INC.  |
| Zuhua Zhu<br>Shabbir Bashar   | Interr              | nal Address: 🎹   | Property Const.  |
| Additional name(s) of conveying party(ies) attached?   Yes  |                     |  | MAY 30 4 31  |
| Nature of conveyance:   |                     | $\frac{1}{2} \int_{-\infty}^{\infty} \frac{\partial u}{\partial x} dx$ | 10   |
| Assignment  | Stree               | et Address: 174 Co   | imponent Drive   |
| ☐ Security Agreement ☐ Change of Name   | City:               | ್ಲ್ರ<br><u>San Jose</u> State:   | <u>CA</u> ZIP: <u>95131</u>                                |
| Other   | Addit               | ional name(s) & addr   | ress(es) attached? 🔲 Yes 🛍 No                              |
|   |                     |  |  |
| Execution Date: <u>05/10/01; 05/10/01; 01/29/01</u> 4. Application number(s) or patent number(s):                                   |                     |  |  |
| <ul><li>4. Application number(s) or patent number(s):</li><li>If this document is being filed together with a new applica</li></ul> | ion the execution   | date of the applicatio   | n is:  |
| If this document is being med together with a new applied   | i                   | 2010 01 1110 2551102111  |  |
| A. Patent Application No.(s)  | В.                  | Patent No.(s)  |  |
| 09/773,765 filed 02/01/01   |                     |  |  |
| Additional numbe  | s attached? 🛚 Ye    | ······································                                 |  |
| <ol> <li>Name and address of party to whom correspondence<br/>concerning document should be mailed:</li> </ol>                      | 6. Total            | number of applicatio   | ons and patents involved:                                  |
| Name: Michael J. DeHaemer, Jr.  | 7. Total            | fee (37 CFR 3.41)  | \$ <u>40.00</u>  |
| Internal Address:   |                     | Enclosed   |  |
| III. CHILLI Y. C.   |                     | Additional fees are a  | uthorized to be charged to deposit                         |
| Street Address: Fish & Neave 06/04/2001 GT0N11 00000147 09773765  | 8. Depo             | osit account number:   |  |
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| 9. Statement and signature.   |                     | d correct and any all  | acried copy is a management of                             |
| To the best of my knowledge and belief, the reregency   | ormation is true an |  |  |
| To the best of my knowledge and belief, the long original document.   | ormation is true an |  | 5/22/2001  |
| To the best of my knowledge and belief, the loregoing original document.  Michael J. DeHaemer, Jr.                                  | Signature           |  | 5/22/2001<br>Date  |
| original document.  | Signature           |  | 5/22/2001<br>Date  |

PATENT REEL: 011850 FRAME: 0055

Attorney Docket: NOK-032.01

## **ASSIGNMENT**

WHEREAS, each of the Undersigned has developed certain inventions described in U.S. patent application titled INTEGRATED SURFACE-EMITTING LASER AND MODULATOR DEVICE (x) executed on even date herewith; () executed on \_\_\_\_\_; () now U.S. Application No. \_\_\_\_filed \_; and has full right to convey their entire interest, both legal and equitable, in and to said inventions free from all prior assignments, agreements, licenses, mortgages, security interests, or other encumbrances whatsoever; and

WHEREAS, NOVA CRYSTALS, Inc. ("ASSIGNEE"), a California corporation having executive offices at 174 Components Drive, San Jose, CA 95131, is desirous of acquiring the entire right, title and interest in and to said invention or inventions and any and all patents to be obtained therefor;

NOW, THEREFORE, in consideration of the sum of One Dollars (\$1.00) and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged by each of the Undersigned, each of the Undersigned hereby sells, assigns and transfers unto said ASSIGNEE, its successors and assigns, their entire right, title and interest in and to said invention or inventions, as described in the aforesaid application and all applications resulting therefrom, including any and all divisions, continuations, continuations in part, substitute applications, and reissues or extensions thereof; and all resulting patents.

AND each of the Undersigned hereby authorizes and requests the issuing authority to issue any and all patents on said application or applications to said ASSIGNEE or its successors and assigns; the Undersigned agree(s) that the attorney of record in said application shall hereinafter act on behalf of said ASSIGNEE.

AND, each of the Undersigned further agrees, without any further payment or compensation by said ASSIGNEE or its successors and assigns, to communicate to said ASSIGNEE, its representatives or agents or its successors and assigns, any facts relating to said invention or inventions including evidence for interference purposes or for other legal proceedings whenever requested; to testify in any interference or other legal proceedings, whenever requested; to execute and deliver, on request, all lawful papers required to make any of the foregoing provisions effective; and to generally do everything possible to aid said ASSIGNEE, its successors or assigns and nominees to secure, obtain and enforce proper patent protection for said invention or inventions in this or any foreign country.

Each of the undersigned hereby authorizes Foley, Hoag & Eliot, of One Post Office Square, Boston, MA 02109, to insert hereon any further identification information necessary or desirable for recordation of this document.

Date Signed

1101191101

Name: LO, Yu-Hwa

2. Ludwith

Name: ZHU, Zuhua

Name: BASMAR, Shabbir

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129/01

Witness(es)

- 10-11

20/435344.1

Attorney Docket: NOK-032.01

| ASSIGNMENT  |  |
|---|--|
| <i>G LASER AND MODU</i><br>; ( ) now U.S. App<br><sub>l</sub> uitable, in and to said   | in inventions described in U.S. patent application LATOR DEVICE (x) executed on even date lication No filed _; and has full right to inventions free from all prior assignments, nbrances whatsoever; and  |
| . ("ASSIGNEE"), a Ca<br>, is desirous of acquiri<br>ts to be obtained there   | lifornia corporation having executive offices at ng the entire right, title and interest in and to said for;   |
| vhich are hereby ackno<br>fers unto said ASSIGN<br>ventions, as described   | Pollars (\$1.00) and other good and valuable by bulledged by each of the Undersigned, each of the EE, its successors and assigns, their entire right, I in the aforesaid application and all applications ontinuations in part, substitute applications, and   |
| said ASSIGNEE or its  | ests the issuing authority to issue any and all successors and assigns; the Undersigned fter act on behalf of said ASSIGNEE.   |
| communicate to said a said invention or invented in the said invention or invented; to test on request, all lawful pything possible to aid seer patent protection for | further payment or compensation by said ASSIGNEE, its representatives or agents or its nations including evidence for interference tify in any interference or other legal proceedings, papers required to make any of the foregoing said ASSIGNEE, its successors or assigns and invention or inventions in this or any foreign   |
| horizes Foley, Hoag &<br>tion information necess  | Eliot, of One Post Office Square, Boston, MA sary or desirable for recordation of this document.   |
| <u>Date Signed</u>  | Witness(es)  |
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| 1/24/01   | Lusa Lopen   |
|   | d has developed certa of LASER AND MODUL; () now U.S. Appuitable, in and to said terests, or other encure. ("ASSIGNEE"), a Ca, is desirous of acquirits to be obtained there on of the sum of One Development of One Developmen |

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RECORDED: 05/30/2001