



06-13-2001



101748495

Express Mail No. EL612597065US

6-6-01

Form PTO-1595 (Rev. 03/01) OMB No. 0651-0027 (exp. 5/31/2002) Tab settings ⇐ ⇐ ⇐ ▼ ▼ ▼ ▼ ▼ ▼ ▼		RECORDATION FORM COVER SHEET PATENTS ONLY U.S. DEPARTMENT OF COMMERCE U.S. Patent and Trademark Office	
To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.			
1. Name of conveying party(ies): a) Gene R. Anderson e) Dahwey Chu b) Marcelino M. Armendariz f) Edwin B. Duckett, III c) Robert P. Bryan g) Rachel K. Giunta d) Richard F. Carson h) Robert T. Mitchell Additional name(s) of conveying party(ies) attached? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		2. Name and address of receiving party(ies) Name: <u>Emcore Corporation</u> Internal Address: _____ _____ Street Address: <u>145 Belmont Drive</u> _____ City: <u>Somerset</u> State: <u>NJ</u> Zip: <u>08873</u> Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ a) 4/23/01 d) 5/1/01 g) 4/27/01 b) 4/23/01 e) 4/23/01 h) 4/23/01 Execution Date: c) 4/27/01 f) 4/23/01			
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) <u>09/749,287</u> B. Patent No.(s) _____ Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>White & Case, LLP</u> Internal Address: <u>Patent Department</u> _____ _____ Street Address: <u>1155 Avenue of the Americas</u> _____ City: <u>New York</u> State: <u>NY</u> Zip: <u>10036</u>		6. Total number of applications and patents involved: <u>1</u> 7. Total fee (37 CFR 3.41).....\$ <u>40.00</u> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account 8. Deposit account number: <u>23-1703</u> (Attach duplicate copy of this page if paying by deposit account)	
DO NOT USE THIS SPACE			
9. Statement and signature. <i>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.</i> Steven L. Walker, Esq., Reg. No. 48,020 <u>June 6, 2001</u> Name of Person Signing Signature Date Total number of pages including cover sheet, attachments, and documents: <u>1</u>			

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

06/13/2001 LNUELLER 00000078 231703 09749287

01 FC:581

40.00 CH

Page 1 of 2

PATENT
REEL: 011877 FRAME: 0082

RECORDATION FORM**ASSIGNMENT**

Additional names of conveying parties:

<u>Name</u>	<u>Execution Date</u>
i) Frederick B. McCormick	5/15/01
j) David W. Peterson	4/23/01
k) Merideth A. Rising	4/27/01
l) Cathleen A. Reber	4/20/01
m) Bill H. Reysen	5/29/01

ASSIGNMENT

WHEREAS, WE, **Gene R. ANDERSON**, residing at 10650 Oakland Ave., NE, Albuquerque, New Mexico, 87122, citizen of the United States; **Marcelino G. ARMENDARIZ**, residing at 1023 Oro Real, NE, Albuquerque, New Mexico, 87123, citizen of the United States; **Robert P. BRYAN**, residing at 4701 Winnetka Ct., NE, Albuquerque, New Mexico, 87111, citizen of the United States; **Richard F. CARSON**, residing at 1036 Jewel Place, NE, Albuquerque, New Mexico, 87123, citizen of the United States; **Dahwey CHU**, residing at 11437 Pine Top Lane, NE, Albuquerque, New Mexico, 87111, citizen of the United States; **Edwin B. DUCKETT, III**, residing at 2220 Skybrook Dr., NW, Albuquerque, New Mexico, 87120, citizen of the United States; **Rachel Knudsen GIUNTA**, residing at 6100 Cortaderia St., NE #3626, Albuquerque, New Mexico, 87111, citizen of the United States; **Robert T. MITCHELL**, residing at 1334 Monte Largo, NE, Albuquerque, New Mexico 87112, citizen of the United States; **Frederick B. McCORMICK**, residing at 12250 Mountain Haze Rd., NE, Albuquerque, New Mexico, 87122, citizen of the United States; **David W. PETERSON**, residing at 395 Pinon Ridge, Sandia Park, New Mexico, 87407, citizen of the United States; **Merideth A. RISING**, residing at 5 Los Coyotes, Santa Fe, New Mexico, 87501, citizen of the United States; **Cathleen A. REBER**, residing in Corrales, New Mexico, 87048, citizen of the United States; and **Bill H. REYSEN**, residing at 2315 High Lonesome Trail, Lafayette, Colorado, 80026, citizen of the United States, (hereinafter "ASSIGNORS") are the inventors of the invention entitled **PROCESS FOR COUPLING OPTICAL ELEMENTS TO OPTOELECTRONIC DEVICES** for which we have executed an application for a Patent of the United States

_____ which is executed on even date herewith

X which was filed on December 26, 2000 as United States Patent Application Number 09/749,287 or PCT International Application Number _____ and was amended on _____ (if applicable).

and WHEREAS, Emcore Corporation (hereinafter "ASSIGNEE"), a New Jersey Corporation having a business address at 145 Belmont Drive, Somerset, New Jersey 08873, is desirous of obtaining our entire right, title and interest in, to and under the said invention and the said application:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to me in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, WE, the said ASSIGNOR(s), have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said ASSIGNEE, its successors, legal representatives and assigns, my entire right, title and interest in, to and under the said invention, and the said United States application and all divisions, renewals and continuations thereof, and all Patents of the United States which may be granted thereon and all reissues and extensions thereof, and all applications for industrial property protection, including, without limitation, all applications for patents, utility models, and designs which may hereafter be filed for said invention in any country or countries foreign to the United States, together with the right to file such applications and the right to claim for the same the priority rights derived from said United States application under the Patent Laws of the United States, the International Convention for the Protection of Industrial Property, or any other international agreement or the domestic laws of the country in which any such application is filed, as may be applicable; and all forms of industrial property protection, including, without limitation, patents, utility models, inventors' certificates and designs which may be granted for said

Attorney Docket Number: 1613370-0013

invention in any country or countries foreign to the United States and all extensions, renewals and reissues thereof;

AND WE HEREBY authorize and request the Commissioner of Patents and Trademarks of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents or other evidence or forms of industrial property protection on applications as aforesaid, to issue the same to the said ASSIGNEE, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant and agree that I have full right to convey the entire interest herein assigned, and that I have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that I will communicate to the said ASSIGNEE, its successors, legal representatives and assigns, any facts known to me respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing, reissue and foreign applications, make all rightful oaths, and generally do everything possible to aid the said ASSIGNEE, its successors, legal representatives and assigns, to obtain and enforce proper protection for said invention in all countries. In the event that I am not an employee of ASSIGNEE at the time such aid is required, I agree to render such aid in return for an hourly rate of pay no greater than twice my equivalent regular hourly pay as it stood on the date of my departure from ASSIGNEE.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 4-23-2001

Gene Ronald Anderson

L.S.

Gene R. Anderson

In the State of NM, county of Bernalillo on 4-23-01, before me Derry S. Soyka Notary Public, personally appeared Gene R. Anderson, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

Derry S. Soyka
Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 4-23-2001 . Marcelino G. Armendariz L.S.
Marcelino G. Armendariz

In the State of NM, county of Bernalillo on 4-23-01, before me Penny S. Soyka, Notary Public, personally appeared Marcelino G. Armendariz, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal Penny S. Soyka
Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 27 Apr 01 Robert P. Bryan L.S.
Robert P. Bryan

In the State of NM, county of Bernalillo on 4-27-01, before me Penny S. Soyka, Notary Public, personally appeared Robert P. Bryan, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal Penny S. Soyka
Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 5/1/01 Richard F. Carson L.S.
Richard F. Carson

In the State of N.M., county of Bernalillo on 5-1-01, before me Perry S. Sajka Notary Public, personally appeared Richard F. Carson, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal Perry S. Sajka
Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 4/23/2001 Dahwey Chu L.S.
Dahwey Chu

In the State of N.M., county of Bernalillo on 4-23-01, before me Perry S. Sajka Notary Public, personally appeared Dahwey Chu, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal Perry S. Sajka
Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 4/23/2001

Edwin B. Duckett, III L.S.
Edwin B. Duckett, III

In the State of NM, county of Bernalillo on 4-23-01, before me Penny S. Sjika, Notary Public, personally appeared Edwin B. Duckett, III, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

Penny S. Sjika
Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 4/27/2001

Rachel Knudsen Giunta L.S.
Rachel Knudsen Giunta

In the State of NM, county of Bernalillo on 4-27-01, before me Penny S. Sjika, Notary Public, personally appeared Rachel Knudsen Giunta, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

Penny S. Sjika
Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 4/23/01 Robert T. Mitchell L.S.
Robert T. Mitchell

In the State of N.M., county of Bernalillo on 4-23-01, before me Penny S. Soyka Notary Public, personally appeared Robert T. Mitchell, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal Penny S. Soyka
Notary Public

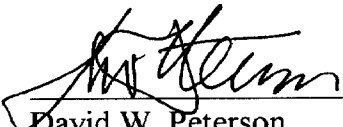
IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

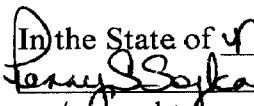
Date: 5-15-01 Frederick B. McCormick L.S.
Frederick B. McCormick

In the State of N.M., county of Bernalillo on 5-15-01, before me Penny S. Soyka Notary Public, personally appeared Frederick B. McCormick, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

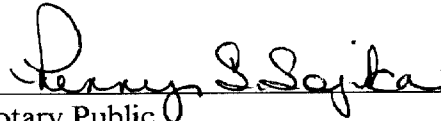
WITNESS my hand and official seal Penny S. Soyka
Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.


Date: 4/23/01 .  L.S.
David W. Peterson

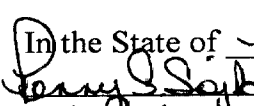
In the State of N.M., county of Bernalillo on 4-23-01, before me  Notary Public, personally appeared David W. Peterson, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal

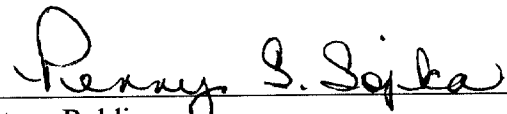

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 4/27/01 .  L.S.
Merideth A. Rising

In the State of N.M., county of Bernalillo on 4-27-01, before me  Notary Public, personally appeared Merideth A. Rising, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal


Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: 4/20/01 Cathleen A. Reber L.S.
Cathleen A. Reber

In the State of N.M., county of Bernalillo on 4-20-01, before me Denny S. Sogha Notary Public, personally appeared Cathleen A. Reber, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal Denny S. Sogha
Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal the day and year opposite my signature.

Date: May 29, 2001 Bill H. Reysen L.S.
Bill H. Reysen

In the State of NJ, county of BERGEN on MAY 29TH, before me ALICE VETTER, Notary Public, personally appeared Bill H. Reysen, personally known to me/proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal Alice Vetter
Notary Public

