

08-17-2001

IN TH



) TRADEMARK OFFICE

Docket No.: LWM-A040

8-10-01

101815639

I hereby certify that this transmittal of the below described document is being deposited with the United States Postal Service in an envelope bearing First Class Postage and addressed to the U.S. Patent and Trademark Office, Assignment Branch, North Tower Building, Suite 10C35, Washington, D.C., 20231, on the below date of deposit.

Date of Deposit:	08/10/01	Name of Person Making the Deposit:	Anthony Chou	Signature of the Person Making the Deposit:	<i>Anthony Chou</i>
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The Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please record the attached original document(s) or copy(ies) thereof:

Transmittal of an Assignment

1. Name of conveying party(ies): Farnaz Parhami, Alice Liu and Pam Trammel

Serial No.:

Group Art Unit:

Filed: 08/10/01

Examiner:

2. Name and Address of Receiving party(ies): LIGHTWAVE MICROSYSTEMS, INC.

2911 Zanker Road, San Jose, CA 95134

3. Nature of Conveyance: Assignment

Execution Date: 08/09/01, 08/10/01 and 08/10/01

4. New Patent Application entitled:

A METHOD AND SYSTEM FOR REDUCING DN/DT  
BIREFRINGENCE IN A THERMO-OPTIC PLC DEVICE

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

Name: Glenn D. Barnes

Address: Wagner, Murabito &amp; Hao LLP

Two North Market Street, Third Floor, San Jose, CA 95113

Phone: (408) 938-9060

6. Total Number of applications and patents involved: ONE

7. Fee Calculation (for small entity)

Assignment Recordation Fee, per property

1 X \$40.00

**Total Fees** (37 CFR 3.41)

\$40.00

X The amount of \$ 40.00 is enclosed

8. At any time during the pendency of this application, please charge any additional fees required or credit any overpayments to Deposit Account 23-0085. A duplicate copy of this transmittal is enclosed.

9. 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.

Date: 08/10/01

*Glenn D. Barnes*  
Name Glenn D. Barnes  
Reg. No. 42,293

jc872 U.S. PTO  
09/27/256  
08/10/01

Attorney Docket No.: LWN-A040

**Assignment to Lightwave Microsystems, Inc.**

In consideration of good and valuable consideration, receipt of which is hereby acknowledged, I/we

Farnaz Parhami

do hereby sell, assign, and transfer unto Lightwave Microsystems, Inc. (hereinafter called Lightwave), a Delaware Corporation having its principal place of business at 2911 Zanker Road, San Jose, CA 95134, and its successors and assigns, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements, including the right of priority in, to, and under, the application for the United States patent entitled:

A METHOD AND SYSTEM FOR REDUCING DN/DT BIREFRINGENCE IN A THERMO-OPTIC PLC DEVICE

☒ filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; or

Serial No.: \_\_\_\_\_ filed on \_\_\_\_\_ and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, I/we agree promptly upon request of Lightwave, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Lightwave, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me/us in lending such cooperation and assistance are paid by Lightwave.

I/we further covenant with Lightwave, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned;

In witness whereof, I/we hereunto set my/our hand(s) and seal:

Inventor's Signature: \_\_\_\_\_

Date: 8-9-01

State of

California

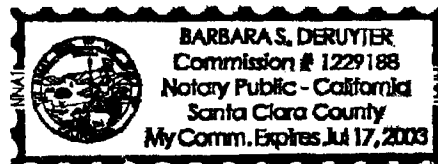
County of

Santa Clara

Before me this 9th day of August, personally appeared Farnaz Parhami who is ☒ personally known or ☐ proved to me on the basis of satisfactory evidence to be the person who acknowledged the foregoing instrument of assignment to be \_\_\_\_\_ his or ☒ her free act and deed.

Notary Stamp/Seal

Notary Public



Attorney Docket No.: LWN-A040

## Assignment to Lightwave Microsystems, Inc.

In consideration of good and valuable consideration, receipt of which is hereby acknowledged, I/we

Alice Liu  
do hereby sell, assign, and transfer unto Lightwave Microsystems, Inc. (hereinafter called Lightwave), a Delaware Corporation having its principal place of business at 2911 Zanker Road, San Jose, CA 95134, and its successors and assigns, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements, including the right of priority in, to, and under, the application for the United States patent entitled:

A METHOD AND SYSTEM FOR REDUCING DN/DT BIREFRINGENCE IN A THERMO-OPTIC PLC DEVICE

☒ filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; or

Serial No.: \_\_\_\_\_ filed on \_\_\_\_\_ and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, I/we agree promptly upon request of Lightwave, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Lightwave, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me/us in lending such cooperation and assistance are paid by Lightwave.

I/we further covenant with Lightwave, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned;

In witness whereof, I/we hereunto set my/our hand(s) and seal:

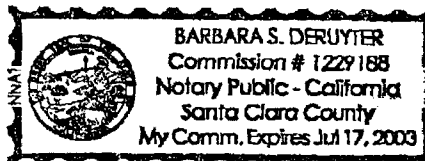
Inventor's Signature: Alice Liu Date: 8-10-01

State of California  
County of Santa Clara

Before me this 10th day of Aug. 2001, personally appeared Alice Liu  
who is ☒ personally known or ☐ proved to me on the basis of satisfactory evidence to be the person  
who acknowledged the foregoing instrument of assignment to be \_\_\_\_\_ his or ☒ her free act and deed.

Notary Stamp/Seal

Barbara S. de Ruyter  
Notary Public



Attorney Docket No.: LWN-A040

# Assignment to Lightwave Microsystems, Inc.

In consideration of good and valuable consideration, receipt of which is hereby acknowledged, I/we

*Pamela S. Trammel*  
*ETJ* do hereby sell, assign, and transfer unto Lightwave Microsystems, Inc. (hereinafter called Lightwave), a Delaware Corporation having its principal place of business at 2911 Zanker Road, San Jose, CA 95134, and its successors and assigns, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements, including the right of priority in, to, and under, the application for the United States patent entitled:

A METHOD AND SYSTEM FOR REDUCING DN/DT BIREFRINGENCE IN A THERMO-OPTIC PLC DEVICE

☒ filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; or

Serial No.: \_\_\_\_\_ filed on \_\_\_\_\_ and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, I/we agree promptly upon request of Lightwave, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Lightwave, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me/us in lending such cooperation and assistance are paid by Lightwave.

I/we further covenant with Lightwave, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned;

In witness whereof, I/we hereunto set my/our hand(s) and seal:

Inventor's Signature: *Pamela S. Trammel* Date: *8/10/01*

State of *California*  
County of *Santa Clara*

Before me this *10th* day of *Aug 2001* personally appeared *Pamela Trammel* who is ☒ personally known or ☐ proved to me on the basis of satisfactory evidence to be the person who acknowledged the foregoing instrument of assignment to be \_\_\_\_\_ his or ☒ her free act and deed.

Notary Stamp/Seal

*Barbara S. de Ruyter*  
Notary Public

