

Atty. Docket No.

Express Mail Label No.

FORM PTO-1619A  
Expires 08/30/99  
OMB 0651-0027U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT****RECORDATION FORM COVER SHEET  
PATENTS ONLY****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 #



Corrective Document

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

Name (line 1)

EBELING, KARL JOACHIM

Execution Date  
Month Day Year

10142001

Name (line 2)

**Second Party**

Name (line 1)

Execution Date  
Month Day Year

Name (line 2)

**Receiving Party**

Mark if additional names of receiving parties attached

Name (line 1)

U-L-M PHOTONICS GMBH

Name (line 2)

☐ 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.)

Address (line 1)

ALBERT-EINSTEIN-ALLEE 45

Address (line 2)

Address (line 3)

ULM

GERMANY

D-89081

City

State/Country

Zip Code

**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)

**FOR OFFICE USE ONLY**

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

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

**PATENT**

700008097

REEL: 012070 FRAME: 0490

FORM PTO-1619B

Expires 08/30/99

OMB 0651-0027

Page 2

U.S. Department of Commerce  
Patent and Trademark Office

PATENT

## Correspondent Name and Address

Area Code and Telephone Number (215) 568-6400

Name RANDOLPH J. HUIS, ESQUIRE

Address (line 1) VOLPE AND KOENIG, P.C.

Address (line 2) SUITE 400, ONE PENN CENTER

Address (line 3) 1617 JOHN F. KENNEDY BLVD.

Address (line 4) PHILADELPHIA, PA 19103

## Pages

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

# 2

## 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)

09704345

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: # 22-0493

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.

Randolph J. Huis, Esquire

Name of Person Signing

Reg. No. 34,626

Signature

Date

October 17, 2001

Express Mail Label No. EL703380222US

Atty. Docket No. UPG-PT001

## ASSIGNMENT

WHEREAS, Karl Joachim Ebeling, residing at Kelternweg 70, Ulm, Germany, D-89075, a citizen of Germany (hereafter the undersigned), is the inventor of

VERTICAL CAVITY SURFACE EMITTING LASER WITH  
REDUCED PARASITIC CAPACITANCE

for which the undersigned executed an application for United States Letters Patent, U.S. Patent Application No. 08 1704,345, filed 02-11, 2000.

The undersigned hereby authorizes assignee or assignee's representative to insert the Application Number and the filing date of this application if they are unknown at the time of execution of this assignment.

AND, WHEREAS, U-L-M Photonics GmbH, a German corporation, having its principal place of business at Albert-Einstein-Allee 45, Ulm, Germany, D-89081 (hereafter referred to as the assignee), is desirous of acquiring the entire right, title and interest in said invention, all applications for and all letters patent issued on said invention.

NOW, THEREFORE, in consideration of One Dollar (\$1.00), receipt of which is acknowledged by the undersigned, and of other good and valuable consideration, the undersigned, intending to be legally bound, does hereby sell, assign and transfer to the assignee and assignee's successors, assigns and legal representatives the entire right, title and interest in said invention and all patent applications thereon, including, but not limited to, the application for United States Letters Patent entitled as above, and all divisions and continuations thereof, and in all letters patent, including all reissues thereof, throughout the world, including the right to claim priority under the Paris Convention.

It is agreed that the undersigned shall be legally bound, upon request of the assignee, to supply all information and evidence relating to the making and practice of said invention, to testify in any legal proceeding relating thereto, to execute all instruments proper to patent the invention throughout the world for the benefit of the assignee, and to execute all instruments proper to carry out the intent of this instrument.

The undersigned warrants that the rights and property herein conveyed are free and clear of any encumbrance.

EXECUTED under seal on this 14 day of October, 2000<sup>1</sup>  
at Ulm, Germany

Witness:

Lothar King

Karl Joachim Ebeling (L.S.)  
Karl Joachim Ebeling

-2 of 2-

PATENT

RECORDED: 10/17/2001

REEL: 012070 FRAME: 0493