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Form PTO-1595

(Rev. 03/01)

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U.S. DEPARTMENT OF COMMERCE  
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OMB No. 0651-0027 (exp. 5/31/2002)

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

1. Name of conveying party(ies):

8-2201

UOP, LLC

2. Name and address of receiving party(ies)

Name: Ocean Optics, Inc.

Internal Address: \_\_\_\_\_

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other \_\_\_\_\_

Street Address: 380 Main Street

City: Dunedin State: FL Zip: 34698

Execution Date: 07/02/2001

Additional name(s) & address(es) attached? ☐ Yes ☐ No

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)

Serial No. 09/256,698

B. Patent No.(s)

4,664,522 5,381,505 5,512,751

5,381,505 5,452,082 5,923,431

Additional numbers attached? ☒ Yes ☐ No

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

Name: James M. Matulis, Esq.

Internal Address: Fowler, White, Gillen,

Boggs, Villareal and Banker, P.A.

Suite 1700

Street Address: 501 E. Kennedy Blvd.

City: Tampa State: FL Zip: 33602

6. Total number of applications and patents involved: 12

7. Total fee (37 CFR 3.41).....\$ 480.00



Enclosed



Authorized to be charged to deposit account

8. Deposit account number:

500864

(Attach duplicate copy of this page if paying by deposit account)

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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.

James M. Matulis, Esq.

Name of Person Signing

Signature

Date

8/20/01

Total number of pages including cover sheet, attachments, and documents: 6

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

08/28/2001 LMUELLER 00000062 500864 09256698

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PATENT  
REEL: 12090 FRAME: 0620

4B. Patent Numbers (cont.)

5,600,142

5,847,392

5,847,393

6,043,895

6,049,388

## ASSIGNMENT OF PATENTS & TRADEMARKS

This Assignment of Patents and Trademarks is provided as of March 6, 2000, by UOP LLC a Delaware limited liability company ("Seller"), which is the owner of the Patents and Trademarks identified on Exhibit "1" attached (the "Patents and Trademarks") to OCEAN OPTICS, INC a Florida corporation ("Purchaser") pursuant to the Asset Purchase Agreement, between Seller and Purchaser, dated March 6, 2000 ("Agreement"). Capitalized terms used herein have the same meaning as set forth in the Agreement.

For good and valuable consideration, receipt of which is hereby acknowledged, Seller does hereby assign and transfer to Purchaser all of Seller's right, title and interest in and to the Patents and Trademarks, the same to be held and enjoyed by the such assignee for its own use and benefit, and for its legal representatives and assigns, to the full end of the term for which such Patents and Trademarks are granted, as fully and entirely as the same would have been held by the Seller had this assignment not been made.

UOP LLC,  
a Delaware limited liability corporation

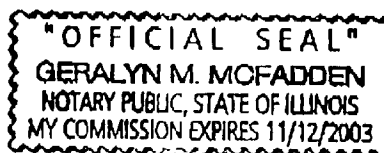
By: John G. Tolomei  
John G. Tolomei  
Assistant Secretary-Patent Matters

STATE OF ILLINOIS                    )  
  ) ss.  
County of Cook                        )

On July 2, 2001, before me GERALYN M. MCFADDEN, a notary public in and for said State, personally appeared JOHN G. TOLOMEI, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person(s) whose name is/are subscribed to the within instrument(s) and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies) and that by his/her/their signature on the instrument, the person(s), or the entity(ies) upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Geraldyn M. McFadden  
Notary Public



#391261.1

**EXHIBIT 1**  
**TO ASSIGNMENT OF PATENTS AND TRADEMARKS**

**Transferred Patents, including foreign counterparts:**

1. Le Febre, David A., "Optical Waveguide Spectrum Analyzer and Method", US Patent # 4,664,522, filed Aug. 24, 1984, issued May 12, 1987.
2. LeFebre, David, A. and Roger E. Schirmer, "Spectral Analysis Apparatus and Method", US Patent No. 4,786,171, issued Nov 22, 1988.
3. Lefebvre, David A., "Dual Fiber Optic Spectrophotometer", US Patent No. 5,184,193, issued Feb. 2, 1993.
4. Fishietto, Frederick J., Ralph E. Jones, Steve W. Wilcox, and Mark S. Zetter, "Optical Fibers with Light Absorbing Coating", US Patent No. 5,381,505, issued Jan 10, 1995.
5. Le Febre David A. and Linda M. Lane, "Process for Controlling Blending", US Patent # 5,430,295, filed Dec. 16, 1993, issued July 4, 1995.
6. Sanger, Robert J., Stephen M. Metro, and Brian K. Masterson, "Flow Cell with Leakage Detection", US Patent 5,452,082, filed July 5, 1994, issued Sept. 19, 1995.
7. Masterson, Brian K., and Terry R. Todd, "Spectroscopic Helical Separator and Fluid Sample Interface", US Patent # 5,923,431, filed April 14, 1998, issued July 13, 1999.
8. Murray, Jr., Richard C. and Mark S. Zetter, "Calibration Spectra in Measuring Properties of Petroleum Products", US Patent No. 5,512,751, issued April 30, 1996.
9. Van Den Berg, Rian, Mark S. Zetter, Keith L. Miller, and Terry R. Todd, "Measurement of Vaporized Hydrogen Peroxide", US Patent No 5,600,142, issued Feb 4, 1997.
10. Van Den Berg, Rian, Mark S. Zetter, Keith L. Miller, and Terry R. Todd, "Determining the Concentration of Gaseous Hydrogen Peroxide", US Patent No 5,847,392, issued Dec 8, 1998.
11. Van Den Berg, Rian, Mark S. Zetter, Keith L. Miller, and Terry R. Todd, "Control of Gaseous Hydrogen Peroxide Concentration during Sterilization", US Patent No 5,847,393, issued Dec 8, 1998.
12. Masterson, Brian K., Calvin Reynolds, Terry R. Todd, "Radiation Probe with Flexible Sleeve", US Patent # 6,043,895, filed Nov. 10, 1998, issued March 28, 2000.
13. Masterson, Brian K., and Terry R. Todd, "Spectroscopic Fluid Sample Cell", US Patent # 6,049,388, filed April 14, 1998, issued April 11, 2000.

**Patent Applications Filed:**

14. Masterson, Brian K., Calvin Reynolds, and Norbert J. Junghardt, "Flow Cell for Spectrophotometric Detection with Asymmetrical Fluid Flow Dissipation:", US Provisional Patent Application, filed March 1998. Serial No. 09/256,698

**Registered Trademarks:**

**Guided Wave**

United States, Reg No. 1819768

Japan, Reg No. 3355611

European Community, Reg. No. 000168385

**Spectron**

United States, Reg No. 1974537