

FORM PTO-1619A  
Expires 06/30/99  
OMB 0651-0027

09-04-2001



101831911

# RECORDATION FORM COVER SHEET PATENTS ONLY

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**

10996 U.S.  
09/935646

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

## Submission Type

- ☒ New *08/24/01*
- ☐ 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) RAY-HUA HORNG

Execution Date  
Month Day Year  
5/25/2001

Name (line 2)

## Second Party

Name (line 1) DONG-SING WU

Execution Date  
Month Day Year  
5/26/2001

Name (line 2)

## Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) TELECOMMUNICATION LABORATORIES, CHUNGWA TELECOM

☐ 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.)

Name (line 2) CO., LTD.

Address (line 1) No. 12, Lane 551, Mi-Tsu Rd., Sec. 5, Yang-Mei Jen

Address (line 2)

Address (line 3) Taoyuan Hsien

Taiwan, R.O.C.

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)

08/27/2001 STEUMELI 00000026 09935646

02 FC:581

40.00 QR

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**  
**REEL: 012120 FRAME: 0163**

**Correspondent Name and Address**

Area Code and Telephone Number **410-465-6678**

Name **Morton J. Rosenberg**

Address (line 1) **Rosenberg, Klein & Lee**

Address (line 2) **3458 Ellicott Center Drive, Suite 101**

Address (line 3) **Ellicott City, MD 21043**

Address (line 4)

**Pages**

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

# **6**

**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)


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  
**5/25/2001**

**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:

Enclosed ☒ Deposit Account ☐

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# **18-2011**

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.*

**Morton J. Rosenberg**

Name of Person Signing

Signature

Date

*Morton J. Rosenberg* **8/23/01**

RECORDATION FORM COVER SHEET  
CONTINUATION  
PATENTS ONLY

U.S. Department of Commerce  
Patent and Trademark Office  
PATENT

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) WEI-CHIH PENG

Execution Date  
Month Day Year

5/26/2001

Name (line 2)

Execution Date  
Month Day Year

Name (line 1) WEN-JENG HO

5/26/2001

Name (line 2)

Execution Date  
Month Day Year

Name (line 1) YING-SHUN HUANG

5/28/2001

Name (line 2)

Receiving Party(ies)

☐ Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)

☐ 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.)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

☐ 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.)

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)



# ASSIGNMENT

WHEREAS, I (we), Ray-Hua HORNG, Dong-Sing WU, Wei-Chih PENG, Wen-Jeng HO, Ying-Shun HUANG whose post office address(es) appear(s) below, hereinafter referred to as ASSIGNOR, is(are) the owner of certain new and useful improvements in **A Novel for technique a Surface-emitting laser diode with a metal reflector**

(hereinafter referred to as the INVENTION) for which an application for United States Letters Patent was

☒ executed on even date herewith

☐ executed on:

☐ filed on:

Serial No.:

☐ established by PCT International Patent Application No.:

filed:

designating the United States of America

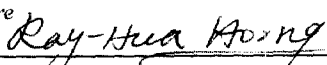
WHEREAS, Telecommunication Laboratories, Chunghwa Telecom Co., Ltd. whose post office address is **No. 12, Lane 551, Mi-Tsu Rd., Sec. 5, Yang-Mei Jen, Taoyuan Hsien, Taiwan, R.O.C.** hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to the same in the United States;

NOW, THEREFORE, for good and valuable consideration, receipt of which is hereby acknowledged, I (we), ASSIGNOR, by these presents do sell, assign and transfer unto said ASSIGNEE, the entire right, title, and interest in and to said INVENTION and application throughout the United States of America, including any and all Letters Patent granted on any division, continuation, continuation-in-part and reissue of said application.

ALSO, ASSIGNOR hereby agrees to execute any documents that legally may be required in connection with the filing, prosecution and maintenance of said application or any other patent application(s) in the United States for said INVENTION, including additional documents that may be required to affirm the rights of ASSIGNEE in and to said INVENTION, all without further consideration. ASSIGNOR also agrees, without further consideration and at ASSIGNEE's expense, to identify and communicate to ASSIGNEE at ASSIGNEE's request documents and information concerning the INVENTION that are within ASSIGNOR's possession or control, and to provide further assurances and testimony on behalf of ASSIGNEE that lawfully may be required of ASSIGNOR in respect of the prosecution, maintenance and defense of any patent application or patent encompassed within the terms of this instrument. ASSIGNOR's obligations under this instrument shall extend to ASSIGNOR's heirs, executors, administrators and other legal representatives.

ALSO, ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all Letters Patent referred to above to ASSIGNEE, as the ASSIGNEE of the entire right, title and interest in and to the same, for ASSIGNEE's sole use and behoof and for the use and behoof of ASSIGNEE's legal representatives and successors, to the full end of the term for which such Letters Patent may be granted, as fully and entirely as the same would have been held by ASSIGNOR had this assignment and sale not been made.

ASSIGNOR authorizes any member of the firm of ROSENBERG KLEIN AND LEE to insert or complete any information in this document needed to effect its recordal in the U.S. Patent and Trademark Office.

Assignor Name <b>Ray-Hua HORNG</b>	Address <b>No. 12, Lane 551, Mi-Tsu Rd.,          Sec. 5, Yang-Mei Jen, Taoyuan          Hsien, Taiwan, R.O.C.</b>
Where Signed (HORNG IS FAMILY NAME)	
Date <b>May 25, 2001</b>	Signature 
Witness (optional)	Witness (optional)
Print/Type Name <b>Ray-Hua HORNG</b>	Print/Type Name
Signature	Signature

☒ Continued on Next Page

Assignor Name Dong-Sing WU (WU IS FAMILY NAME)	Address No. 12, Lane 551, Mi-Tsu Rd., Sec. 5, Yang-Mei Jen, Taoyuan Hsien, Taiwan, R.O.C.
Where Signed	
Date May 26, 2001	Signature Dong Sing Wu
Witness (optional)	Witness (optional)
Print/Type Name Dong-Sing WU	Print/Type Name
Signature	Signature
Assignor Name Wei-Chih PENG (PENG IS FAMILY NAME)	Address No. 12, Lane 551, Mi-Tsu Rd., Sec. 5, Yang-Mei Jen, Taoyuan Hsien, Taiwan, R.O.C.
Where Signed	
Date May 26, 2001	Signature Wei - chih Peng
Witness (optional)	Witness (optional)
Print/Type Name Wei -Chih PENG	Print/Type Name
Signature	Signature
Assignor Name Wen -Jeng HO (HO IS FAMILY NAME)	Address No. 12, Lane 551, Mi-Tsu Rd., Sec. 5, Yang-Mei Jen, Taoyuan Hsien, Taiwan, R.O.C.
Where Signed	
Date May. 26. 2001	Signature wen-jeng (to)
Witness (optional)	Witness (optional)
Print/Type Name Wen-Jeng HO	Print/Type Name
Signature	Signature

☒ Continued on Next Page

Assignor Name Ying-Shun HUANG (HUANG IS FAMILY NAME)	Address No. 12, Lane 551, Mi-Tsu Rd., Sec. 5, Yang-Mei Jen, Taoyuan Hsien, Taiwan, R.O.C.
Where Signed	
Date May 28, 2001	Signature Yin-Hsun Huang
Witness (optional)	Witness (optional)
Print/Type Name Ying-Shun HUANG	Print/Type Name
Signature	Signature
Assignor Name	Address
Where Signed	
Date	Signature
Witness (optional)	Witness (optional)
Print/Type Name	Print/Type Name
Signature	Signature
Assignor Name	Address
Where Signed	
Date	Signature
Witness (optional)	Witness (optional)
Print/Type Name	Print/Type Name
Signature	Signature

☐ Continued on Next Page