

09-11-2001

MMD
8.31.01

IN THE UNIT



101839468

EMARK OFFICE

Docket No.: LWM-A1C6

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:	08/31/01	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

JC997 U.S. PTO
09/945300
08/31/01

1. Name of conveying party(ies): Fan Zhong and Kangjie Li

Serial No.:

Filed:

08/31/01

Group Art Unit:

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: 08/31/01 and 08/31/01

09/945300

4. New Patent Application entitled: A METHOD AND SYSTEM FOR A COMBINATION OF HIGH BORON AND LOW BORON BPSG TOP CLAD FABRICATION PROCESS FOR A PLANAR LIGHTWAVE CIRCUIT

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

Name: Glenn D. Barnes
Address: Wagner, Murabito & 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.

09/06/2001 JBALINAM 00000062 09945300

02 FC:581

40.00 OP

Date: 08/31/01

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

Attorney Docket No.: LWM-A106

Assignment to Lightwave Microsystems, Inc.

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

Fan Zhong
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 A COMBINATION OF HIGH BORON AND LOW BORON BPSG TOP CLAD FABRICATION PROCESS FOR A PLANAR LIGHTWAVE CIRCUIT

☒ 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:

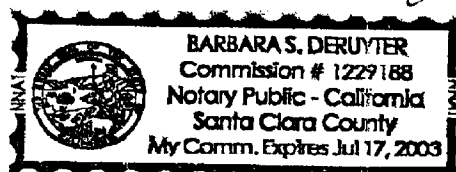
Inventor's Signature: _____

Date: 8-31-01State of CaliforniaCounty of Santa Clara

Before me this 31st day of Aug 2001 personally appeared Fan Zhong
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.: LWM-A106

Assignment to Lightwave Microsystems, Inc.

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

Kangjie Li
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 A COMBINATION OF HIGH BORON AND LOW BORON BPSG TOP CLAD FABRICATION PROCESS FOR A PLANAR LIGHTWAVE CIRCUIT

X 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: Kangjie Li Date: 8-31-01

State of California
County of Santa Clara

Before me this 31st day of Aug 2001, personally appeared Kangjie Li
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 Ruyt
Notary Public

