

PUAS-0008

10-04-2001



HEET

9.28.01

To The Honorable Commissioner of P

101865488

attached original documents or copy thereof.

1. Name of conveying party(ies):

Stephen R. Forrest September 21, 2001
First Assignor Date of Execution

Milind R. Gokhale September 20, 2001
Second Assignor Date of Execution

Pavel V. Studenkov September 20, 2001
Third Assignor Date of Execution

Additional name(s) of conveying party(ies) attached? () YES (x) NO

2. Name and address of receiving party(ies):

Name: The Trustees of Princeton University
Street Address: P.O. Box 36, 5 New South Building

City: Princeton

State New Jersey ZIP 08544

Additional name(s) & address attached? () YES (X) NO

3. Nature of Conveyance (check only one):

(x) New Assignment () Merger
() License Agreement () Security Agreement
() Change of Name () Other:

() Cross-reference of Assignment filed in United States
Application No., recorded on at Reel No.
and Frame No.

4. Identification of Application number(s), patent number(s) OR date of execution of application to which assignment refers:

Application Nos.:

Patent Nos.:

09/891,639

Date application was signed by the first
named executing inventor(Fill-in this date only if assignment is
filed together with a new application)5. Name and address of party to whom correspondence
concerning documents should be mailed:

Name: John E. McGlynn
WOODCOCK WASHBURN KURTZ MACKIEWICZ & NORRIS LLP
One Liberty Place - 46th Floor
Philadelphia, Pennsylvania 19103-7301
215-568-3100

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):.....\$40.00
(X) Enclosed
() Authorized to be charged to Deposit Account
Number 23-3050

8. Please charge any deficiency or credit any
overpayment to Deposit Account Number 23-3050

DO NOT USE THIS SPACE

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.*

John E. McGlynn/42,863

September 24, 2001

Name of Person Signing/Reg. No.

Signature

Date

Total number of pages including cover sheet, assignment document and additional pages attached thereto: 6

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

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

**(Pending Application;
Serial No. Known)****ASSIGNMENT**

WHEREAS, we **Stephen R. Forrest, Milind R. Gokhale and Pavel V. Studenkov**, hereinafter referred to as the assignors, residing respectively at **148 Hunt Drive, Princeton, NJ 08540; 263 South Harrison Street, #2, Princeton, NJ 08540; and 6208 Shadow Oaks Court, Monmouth Junction, NJ 08852** are the joint inventors of certain inventions or improvements for which we have made application for Letters Patent to the United States, identified as Serial No. **09/891,639**, filed **June 26, 2001**, entitled **ASYMMETRIC WAVEGUIDE ELECTROABSORPTION-MODULATED LASER**; and

WHEREAS, **The Trustees of Princeton University**, hereinafter referred to as the assignee, of **P.O. Box 36, 5 New South Building, Princeton, New Jersey 08544**, a corporation of **New Jersey**, is desirous of acquiring the entire right, title and interest in and to the said inventions or improvements and in and to the said application, and in, to and under any and all Letters Patent which may be granted on or as a result thereof in any and all countries:

NOW, THEREFORE, for and in consideration of the sum of One Dollar (\$1.00) to each of us in hand paid by said assignee, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, the said assignors, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over to said assignee, the entire right, title and interest in and to said inventions or improvements and said application and any and all continuations, divisions and renewals of and substitutes for said application, and in, to and under any and all Letters Patent which may be granted on or as a result thereof in the United States and any and all other countries, and any reissue or reissues or extension or extensions of said Letters Patent, and assign to and authorize said assignee, to file in our names applications for Letters Patent in all countries, the same to be held and enjoyed by said assignee, its successors, assigns, nominees or legal representatives, to the full end of the term or terms for which said Letters Patent respectively may be granted, reissued or extended, as fully and entirely as the same would have been held and enjoyed by us had this assignment, sale and transfer not been made.

AND we hereby covenant that we have full right to convey the entire interest herein assigned, and that we have not executed and will not execute any agreement in conflict herewith, and we further covenant and agree that we will each time request is made and without undue delay, execute and deliver all such papers as may be necessary or desirable to perfect the title to said inventions or improvements, said application and said Letters Patent to said assignee, its successors, assigns, nominees, or legal representatives, and each of us agrees to communicate to said assignee or to its nominee all known facts respecting said inventions or improvements, said application and said Letters Patent, to testify in any legal proceedings, to sign all lawful papers to execute all disclaimers and divisional, continuing, reissue and foreign

applications, to make all rightful oaths, and generally to do everything possible to aid said assignee, its successors, assigns, nominees and legal representatives to obtain and enforce for its or their own benefit proper patent protection for said inventions or improvements in any and all countries.

AND we hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States whose duty it is to issue patents on applications as aforesaid, to issue to said assignee, as assignee of the entire right, title and interest, any and all Letters Patent for said inventions or improvements, including any and all Letters Patent of the United States which may be issued and granted on or as a result of the application aforesaid, in accordance with the terms of this assignment.

AND this Assignment may be executed in multiple counterparts, each of which shall be deemed to be an original of this Assignment. Additionally, we hereby authorize our attorneys to collect the signature pages of each executed counterpart and to attach those signature pages to a single copy of this instrument, which single copy and attached signature pages together shall constitute an original of this Assignment.

9/21/01
DateStephen R. Forrest (L.S.)
Stephen R. Forrest

STATEMENT OF WITNESS

SIGNED at Princeton, NJ USA
(City) (Country)This 21st day of September, 2001.I, Vicki Paulus whose full
print name of witness
residence address is 202 Loetscher Pl. #8 B, Princeton, NJ 08540
print address of witnesswas personally present and did see Stephen R. Forrest execute the above assignment on
the 21st day of September, 2001, and such assignor is personally known to me to
be the person described in such document.Vicki Paulus
Signature of Witness

Sept 20, 2001
Date

Milind R. Gokhale (L.S.)
Milind R. Gokhale

STATEMENT OF WITNESS

SIGNED at Princeton, NJ USA
(City) (Country)

This 20th day of September, 2001.

I, John Ueng-McHale whose full
print name of witness
residence address is 15 Livingston Ave., Lyndhurst, NJ 07071
print address of witness

was personally present and did see Milind R. Gokhale execute the above assignment on
the 20th day of September, 2001, and such assignor is personally known to me to
be the person described in such document.

John Ueng-McHale
Signature of Witness

9/20/01
Date

Nabur B. Cmydemus (L.S.)
Pavel V. Studenkov

STATEMENT OF WITNESS

SIGNED at Princeton, NJ USA
(City) (Country)

This 20th day of September, 2001.

I, John Ueng-McHale whose full
print name of witness
residence address is 15 Livingston Ave., Lyndhurst, NJ 07071
print address of witness

was personally present and did see Pavel V. Studenkov execute the above assignment on
the 20th day of September, 2001, and such assignor is personally known to me to
be the person described in such document.


Signature of Witness