

10-10-2001



Form PTO-1595

(Rev. 03/01)

OMB No. 0651-0027 (exp. 5/31/2002)

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PATENTS

U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

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

1. Name of conveying party(ies):

Randy D. May

09/28/01

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

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: 9-28-01

2. Name and address of receiving party(ies)

Name: Tunable Photonics Corporation

Internal Address: Legal Department

Street Address: 2400 Lincoln Ave.

City: Altadena State: CA Zip: 91001

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

4. Application number(s) or patent number(s):

09/966152

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Carl A. Kukkonen, III

Internal Address: Tunable Photonics Corporation

Street Address: 2400 Lincoln Ave.

City: Altadena State: CA Zip: 91001

6. Total number of applications and patents involved: ☐

7. Total fee (37 CFR 3.41).....\$ 40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

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

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.

Carl A. Kukkonen, III

Name of Person Signing

Signature

9/28/01

Date

Total number of pages including cover sheet, attachments, and documents: 3

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

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

00 FC:

10/03/2001 00000042 09966152

01 FC:201

02 FC:202

03 FC:203

355.00 DP

200.00 DP

108.00 DP

10/03/2001 00000042 09966152

40.00 DP

10/03/2001 00000042 09966152

PATENT

REEL: 012221 FRAME: 0206

ASSIGNMENT

WHEREAS, Randy D. May, of Montrose, California, Assignor, has invented a new and useful System and Method for Locking Transmission Wavelengths for Lasers in a Dense Wavelength Division Multiplexer Utilizing a Tunable Etalon for which an application for United States Letters Patent was executed by him on or about the same date as this Assignment; and

WHEREAS, Assignor believes himself to be the original and sole inventor of the invention disclosed and claimed in the application for Letters Patent; and

WHEREAS, Tunable Photonics Corporation, a Delaware Corporation, having a place of business at 2400 Lincoln Avenue, Altadena, California, Assignee, desires to acquire by formal, recordable assignment the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world;

NOW, THEREFORE, in consideration of good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor hereby sells, assigns and transfers to Assignee, the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world, including the right to file foreign applications directly in the name of Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignor agrees that, upon request and without further compensation, but at no expense to Assignor, he and his legal representatives and assigns will perform all lawful acts, including the execution of papers and the giving of testimony, that might be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for the invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to the invention, the application, and any Letters Patent granted for the invention in the United States and throughout the world.

Assignor represents and warrants that he has not granted and will not grant to others any rights inconsistent with the rights granted by this Assignment.

Assignor authorizes and requests the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for the invention,

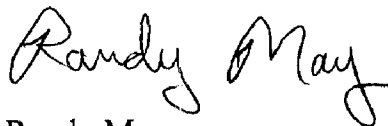
whether on the application or on any subsequently filed division, continuation, continuation-in-part or reissue application, to Assignee, its successors and assigns, as the assignee of the entire interest in the invention.

Assignor further authorizes and requests insertion below of the serial number and filing date of the application, when officially known:

Serial No. _____ Filing Date September 28, 2001

IN WITNESS WHEREOF, Assignor has executed this Assignment.

Assignor,

A handwritten signature in cursive script that reads "Randy May".

Randy May

Date: 9-28-01

ASSIGNMENT

WHEREAS, Randy D. May, of Montrose, California, Assignor, has invented a new and useful System and Method for Locking Transmission Wavelengths for Lasers in a Dense Wavelength Division Multiplexer Utilizing a Tunable Etalon for which an application for United States Letters Patent was executed by him on or about the same date as this Assignment; and

WHEREAS, Assignor believes himself to be the original and sole inventor of the invention disclosed and claimed in the application for Letters Patent; and

WHEREAS, Tunable Photonics Corporation, a Delaware Corporation, having a place of business at 2400 Lincoln Avenue, Altadena, California, Assignee, desires to acquire by formal, recordable assignment the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world;

NOW, THEREFORE, in consideration of good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor hereby sells, assigns and transfers to Assignee, the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world, including the right to file foreign applications directly in the name of Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignor agrees that, upon request and without further compensation, but at no expense to Assignor, he and his legal representatives and assigns will perform all lawful acts, including the execution of papers and the giving of testimony, that might be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for the invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to the invention, the application, and any Letters Patent granted for the invention in the United States and throughout the world.

Assignor represents and warrants that he has not granted and will not grant to others any rights inconsistent with the rights granted by this Assignment.

Assignor authorizes and requests the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for the invention,

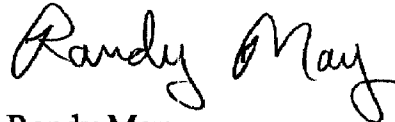
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Randy May

Date: 9-28-01