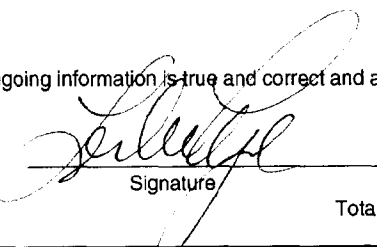


10-10-2001



101868876

To the Assistant Commissioner for Patents. Please record the attached original documents or copy thereof.

<p>1. Name of conveying party(ies): Mitchell S. Cohen, David P. Gaio, William K. Hogan, Glen W. Johnson and Jeannine M. Trehwella</p> <p>Additional names of conveying party(ies) attached? <input type="checkbox"/> yes <input checked="" type="checkbox"/> no</p> <p>10-2-01</p> <p>3. Nature of Conveyance</p> <p><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____</p> <p>Execution Date: September 17, 2001, June 19, 2001, June 19, 2001, September 25, 2001 and September 25, 2001.</p>	<p>2. Name and address of receiving party(ies):</p> <p>Name: <u>International Business Machines Corporation</u></p> <p>Internal Address: _____</p> <p>_____</p> <p>_____</p> <p>Street Address: <u>New Orchard Road</u> City <u>Armonk</u> State <u>New York</u> Zip <u>10504</u></p> <p>Additional name(s) & address(es) attached? <input type="checkbox"/> yes <input checked="" type="checkbox"/> no</p> <p>OCT - 2 2001</p>
<p>4. Application number(s) or patent number(s): TITLE: IMPROVED OPTICAL SUBASSEMBLY FOR OPTICAL COMMUNICATIONS If this document is being filed together with a new application, the execution date of the application is _____.</p> <p>A. Patent Application No(s). B. Patent No(s).</p> <p>Docket No. ROC920000148US1 Serial No. 09/885,683</p> <p>Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>Name and address of party to whom correspondence concerning document should be mailed:</p> <p>Leslie J. Payne IBM Corporation - Dept. 917 3605 Highway 52 North Rochester, MN 55901-7829</p>	<p>6. Total number of applications and patents involved: <u>1</u></p> <p>7. Total fee (37 CFR 3.41): <u>\$ 40.00</u></p> <p><input type="checkbox"/> Enclosed</p> <p><input checked="" type="checkbox"/> Authorized to be charged to deposit account <input checked="" type="checkbox"/> Total fee due <input checked="" type="checkbox"/> Any deficiencies in the enclosed fees</p> <p>8. Deposit account number: <u>09-0465</u></p> <p>(Attach duplicate copy of this page if paying by deposit account)</p>
<p>DO NOT USE THIS SPACE</p>	
<p>9. Statement and signature</p> <p>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.</p> <p><u>Leslie J. Payne</u> Name of Person Signing</p> <p> Signature</p> <p><u>09/26/01</u> Date</p> <p>Total number of pages comprising cover sheet: <u>3</u></p>	

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ASSIGNMENT

Whereas, we

- | | |
|---|--|
| (1) Mitchell S. Cohen,
County of Westchester
County of Middlesex MSC | City of Bedford MSC
City of Millwood,
and State of New York,
and State of Massachusetts MSC |
| and (2) David P. Gaio,
County of Olmsted , | City of Rochester,
and State of Minnesota, |
| and (3) William K. Hogan
County of Olmsted , | City of Rochester,
and State of Minnesota, |
| and (4) Glen W. Johnson,
County of Westchester, | City of Yorktown Heights
and State of New York, |
| and (5) Jeannine M. Trehella,
County of Westchester | City of Peekskill,
and State of New York, |

have invented certain improvements in

IMPROVED OPTICAL SUBASSEMBLY FOR OPTICAL COMMUNICATIONS

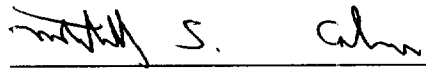
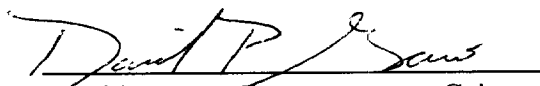
and have executed, respectively, a United States patent application therefor on

Dates
 Inventors (1) September 17 , 2001, (2) June 19 , 2001, (3) June 19 , 2001,
 Signed (4) September 25, , 2001, and (5) Sept. 25 , 2001.
 Declaration

And whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York, having a place of business at Armonk, New York 10504, (hereinafter called IBM), desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we the above named hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right, title and interest in the said application and invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and we request the Commissioner of Patents to issue any Letters Patent granted upon the invention set forth in said application to IBM, its successors and assigns; and we hereby agree that IBM may apply for foreign Letters Patent on said invention and we will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

Signed

Inventor (1)	at <u>Yorktown Heights, New York</u> on <u>9/17/01</u> , 2001.	 (Mitchell S. Cohen) First Name Initial Last Name	Inventor Signature
Inventor (2)	at <u>Rochester, MN</u> on <u>6/19</u> , 2001,	 (David P. Gaio) First Name Initial Last Name	Inventor Signature

Inventor (3) at Rochester, MN
on 6/19/01, 2001,

William K Hogan
(William K. Hogan)
First Name Initial Last Name

Inventor Signature

Inventor (4) at Yorktown Heights, New York
on 9/25, 2001,

Glen W. Johnson
(Glen W. Johnson)
First Name Initial Last Name

Inventor Signature

Inventor (5) at Yorktown Heights, New York
on 9/25, 2001,

Jeannine M. Trehella
(Jeannine M. Trehella)
First Name Initial Last Name

Inventor Signature