

10-05-2001

SHEET

OMB No. 0651-0011 (exp. 4/94)

SEP 28 2001



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Tab settings

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To the Honorable Commissioner of

... and the attached original documents or copy thereof.

1. Name of conveying party(ies):

Sarnoff Corporation

09/28/01

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

2. Name and address of receiving party(ies)

Name: **Princeton Lightwave, Inc.**

Internal Address: **2601 U.S. Route 130 South**

Street Address:

City: **Cranbury** State: **NJ** ZIP: **08512**

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

3. Nature of conveyance:

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

Execution Date: **August 2, 2001**

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

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

A. Patent Application No.(s)
09/468396

B. Patent No.(s)

Additional numbers attached? Yes No

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

Name: **Arthur L. Plevy**

Internal Address: **Duane, Morris & Heckscher LLP**

Street Address: **100 College Road West**
Suite 100

City: **Princeton** State: **NJ** ZIP: **08540**

6. Total number of applications and patents involved: **1**

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

Enclosed

Authorized to be charged to deposit account

8. Deposit account number:

04-1679

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

DO NOT USE THIS SPACE

9. Statement of 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. Giordano

Name of Person Signing

Carl A. Giordano

Signature

09/25/01

Date

Total number of pages including cover sheet, attachments, and document: **5**

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

PATENT
REEL: 012239 FRAME: 0706

10/05/2001 LMUELLER 00086023 09468396 40.00 DR 01 FC:561

ASSIGNMENT

WHEREAS, The Sarnoff Corporation, a Delaware corporation ("Sarnoff"), and Princeton Lightwave, Inc., a Delaware corporation ("PLI"), have entered into a TECHNOLOGY AND PATENT LICENSE AGREEMENT dated May 8, 2000;

WHEREAS, Sarnoff is the owner of the entire right, title and interest to the following patent applications:

SEE EXHIBIT A ATTACHED HERETO

(collectively referred to as the "Patents and Patent Applications")

WHEREAS, PLI is acquiring the entire right, title and interest in and to said Patents and Patent Applications; and

WHEREAS, it is desired that the assignment of these Patents and Patent Applications be made a matter of record in the appropriate domestic and international patent offices;

NOW THEREFORE for good and valuable consideration, receipt of which is hereby acknowledged, Sarnoff hereby assigns and transfers unto PLI and its successors and assigns, the entire right, title and interest in and to these Patents and Patent Applications (including the inventions disclosed therein and any division, continuation, reissue, reexamination, or extension thereof) together with all rights of action and recovery for past infringement thereof.

The Sarnoff Corporation

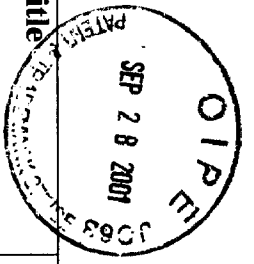
By:


William J. Burke, Esq.

Title: Vice President
IP and Licensing

Date:

August 2, 2001



**EXHIBIT A
PATENTS and PATENT APPLICATIONS**

Title	Sarnoff Case Number	Inventor(s)	Status	Application Number	Filing Date	Patent Number	Issue Date	Origin
Monolithic Semiconductor Light Emitter and Amplifier	10579	Carlson	Issued	07632263	12/21/90	5,131,001	7/14/92	US
High Power Semiconductor Laser Diode	11611	Abeles Connolly Garbuzov	Issued	08/757883	11/27/96	5,818,860	10/6/98	US
Semiconductor Distributed Feedback Laser Diode	11698	Abeles Connolly Morris	Issued	08/524946	9/8/96	5,619,523	4/8/97	US
Light Emitting Semiconductor Device	11959A	Alphonse	Pending	09/205575	12/4/98			US
Electroluminescent Diode with Mode Expander	11961	Alphonse Andrews Menna	Issued	08/946180	10/7/97	6,034,380	3/7/00	US
Polarization-Independent Semiconductor Optical Amplifier	11983	Alphonse	Issued	09/159141	9/23/98	6,175,446	1/16/01	US
Wide Stripe Distributed Bragg Reflector Lasers with Improved Angular and Spectral Characteristics	12709	Connolly DiMarco Garbuzov Khalfin	Pending	09/468396	12/20/99			US

**EXHIBIT A
PATENTS and PATENT APPLICATIONS**

Title	Sarnoff Case Number	Inventor(s)	Status	Application Number	Filing Date	Patent Number	Issue Date	Origin
Master Oscillator Granting Coupled Power Amplifier with Angles Amplifier Section	12709A	Connolly DiMarco Garbuzov Khalfin	Pending	09/546086	4/10/00			US
High Power Semiconductor Light Source	12797	Alphonse	Pending	09/158847	9/23/98			US
Phase Conjugating Structure for Mode Matching in Super Luminescent Diode Cavities	12977	Burstyn	Pending	09/566,276	5/5/00			US
Superluminescent Diode And Optical Amplifier With Extended Bandwidth	13038	Alphonse	Issued	09/159148	9/23/98	6,184,542	2/16/01	US
Method for Controlling Current Spreading in Semiconductor Laser Diodes	13206	Connolly DiMarco	Pending	60/164864 09/710362	11/12/99 11/10/00			US
Semiconductor Diode Lasers with Thermal Sensor Control of the Active Region Temperature	13505	Garbuzov Maiorov Khalfin Connolly	Pending	09/430643	10/29/99			US

**EXHIBIT A
PATENTS and PATENT APPLICATIONS**

Title	Sarnoff Case Number	Inventor(s)	Status	Application Number	Filing Date	Patent Number	Issue Date	Origin
Integrated High Power Semiconductor Laser	13764	Alphonse	Pending	60/161213	10/22/99			US
				09/571970	8/16/00			
Mode Expander with Co-Directional Grating	13764A	Alphonse	Pending	09/571211	8/16/00			US
Semiconductor Diode Lasers with Improved Beam Divergence	13858	Garbuzov Khalfin Connolly	Pending	09/553551	4/20/00			US
High-Power Single Mode Semiconductor Laser Diode	13860	Garbuzov Khalfin	Pending	60/176913	1/20/00			US
				09/585032	6/1/00			