



11-13-2001



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Docket No.: NEC01P165-Twb

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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

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To the Honorable Commissioner of Patents, _____ attached original documents or copy thereof.

1. Name of conveying party(ies):

Kenji Sato

11.6.01

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

3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other _____

Execution Date: **October 2, 2001**

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

Name: **NEC Corporation**

Address: **7-1, Shiba 5-chome, Minato-ku**

City: **Tokyo**

State/Prov.: _____

Country: **Japan**

ZIP: _____

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

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

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

Patent Application No.

Filing date

B. Patent No.(s)

09/928,663

August 14, 2001

Additional numbers attached? ☐ Yes ☒ No

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

Name: **Sean M. McGinn**

Registration No. **34,386**

Address: **McGinn & Gibb, PLLC**

8321 Old Courthouse Road

Suite 200

City: **Vienna**

State/Prov.: **VA**

Country: **USA**

ZIP: **22182-3817**

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

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

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

50-0481

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

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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.

Sean M. McGinn

Name of Person Signing

Signature

November 6, 2001

Date

4

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

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

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

11/07/2001 SSITHIB1 00000041 500481

01 FC:581

40.00 DP

ASSIGNMENT OF APPLICATION FOR PATENT

WHEREAS Kenji Sato of Tokyo, Japan

NAME AND ADDRESS
OF ASSIGNOR

(HEREINAFTER REFERRED TO AS ASSIGNOR), have invented and
own a certain new and useful invention entitled:

TITLE OF INVENTION:

SEMICONDUCTOR LASER AND SYSTEM FOR AND METHOD OF
PERFORMING DIGITAL OPTICAL COMMUNICATIONS USING
SUCH SEMICONDUCTOR LASER

FULL NAME AND ADDRESS
OF ASSIGNEE

WHEREAS : NEC Corporation
7-1; Shiba 5-chome, Minato-ku,
Tokyo, Japan.

(hereinafter referred to as ASSIGNEE), is desirous of acquiring the entire
right, title, and interest in, to and under said invention and the United States
Letters Patent to be obtained therefor:

NOW THEREFORE, TO ALL WHOM IT MAY CONCERN: Be
it known that in consideration of the payment of ASSIGNEE to
ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is
hereby acknowledged, and for other good and valuable consideration,
ASSIGNOR, by these presents, hereby sells, assigns and transfers to
ASSIGNEE the entire and exclusive right, title and interest to said
invention and all Letters Patent of the United States to be obtained therefor
on said application or any continuation, division, renewal, substitute or
reissue thereof for the full term or terms for which the same may be
granted.

ASSIGNOR hereby authorizes and requests the Commissioner of Patents
and Trademarks to issue said Letters Patent of the
United States Patent obtained therefor on said application or any

(Assignment of Application for Patent -- page 1 of 2)

continuation, division, renewal, substitute or reissue thereof for the full term or terms to said ASSIGNEE, of the entire right, title, and interest in and to the same, for his sole use and behoof, and for the use and behoof of his legal representatives, to the full end of the term or terms for which said Letters Patent obtained therefor on said application or any continuation, division, renewal, substitute or reissue thereof for may be granted, as full and entirely as the same would have been held by ASSIGNOR had this assignment and sale not been made.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent as may be known and accessible to ASSIGNOR and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain and enforce said application, said invention and said Letters Patent which may be necessary or desirable to carry out the purposes hereof.

DATE OF SIGNING

IN WITNESS WHEREOF, I/We have hereunto set

hand and seal this 2nd day of October, 2001.

SIGNATURE

By: Kenji Sato (佐藤)
Kenji Sato

SIGNATURE

By: _____

SIGNATURE

By: _____

SIGNATURE

By: _____

SIGNATURE

By: _____

SIGNATURE

By: _____

SIGNATURE

By: _____

WITNESSES

Yumitake Watanabe
[Signature]

(Assignment of Application for Patent -- page 2 of 2)