

DOCKET NO.: SGU-011



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U.S. DEPARTMENT OF COMMERCE
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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereto:

1. Name of conveying party(ies):

Arnold Peter Roscoe HARPIN

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

3. Nature of conveyance:

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

Execution Date: September 28, 2001

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

Name: Bookham Technology PLC

Internal Address:

Street Address: 90 Milton Park

City: Abingdon

State/Country: Oxfordshire, U.K. ZIP: OX14 4RY

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

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

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

A. Patent Application No(s). 09/281,972
Filed: March 31, 1999

B. Patent No(s)

Additional numbers attached? Yes ☒ No

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

Name: FLESHNER & KIM, LLP

Internal Address:

Street Address: P. O. Box 221200

City: Chantilly State: VA ZIP: 20153-1200

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. 3.41)..... \$40.00

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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.

Rene A. Vazquez, Reg. No. 38,647

Name and Registration No. of Person Signing

Signature

December 20, 2001

Date

Total number of pages including cover sheet: 2

CMB No. 0851-0011 (exp. 4/94)

10-03-2001



101863725

FORM PTO-1596
1-31-92

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RECORDATION FORM COVER SHEET

U.S. DEPARTMENT OF COMMERCE
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DOCKET NO.: SGU-4711

PATENTS ONLY

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

1. Name of conveying party(ies): Arnold Peter Roscoe HARPIN Additional name(s) of conveying party(ies) attached? Yes <input checked="" type="checkbox"/> No		2. Name and address of receiving party(ies): Name: <u>Bookham Technology PLC</u> Internal Address: Street Address: <u>90 Milton Park</u> City: <u>Abingdon</u> State/Country: <u>Oxfordshire, U.K.</u> ZIP: <u>OX14 4RY</u> Additional name(s) & address(es) attached? Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other Execution Date: <u>September 28, 2001</u>			
4. Application number(s) or patent number(s): If the document is being filed together with a new application, the execution date of the application is: <u>date of execution if filed with application</u> A. Patent Application No(s). Filed: B. Patent No(s) Additional numbers attached? Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>FLESHNER & KIM, LLP</u> Internal Address: Street Address: <u>P. O. Box 221200</u> City: <u>Chantilly</u> State: <u>VA</u> ZIP: <u>20153-1200</u>		6. Total number of applications and patents involved: <u>1</u> 7. Total fee (37 C.F.R. 3.41)..... <u>\$40.00</u> <input checked="" type="checkbox"/> Enclosed (Check No. <u>01238</u>) Authorized to be charged to deposit account 8. Deposit account number: <u>16-0607</u>	
DO NOT USE THIS SPACE			
9. Statement and signature. <i>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.</i> <div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div> <u>Rene A. Vazquez, Reg. No. 38,647</u> Name and Registration No. of Person Signing </div> <div style="text-align: center;"> Signature </div> <div> <u>September 28, 2001</u> Date </div> </div> <div style="text-align: right;">Total number of pages including cover sheet: <u>2</u></div>			
CMB No. 0851-0011 (exp. 4/94)			

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PATENT
REEL: 012387 FRAME: 0396

Docket No.: SGU-011ASSIGNMENT

In consideration of the premises and other good and valuable consideration in hand paid, the receipt and sufficiency of which is hereby acknowledged, the undersigned,

(1) Arnold Peter Roscoe HARPIN (4) _____
(2) _____ (5) _____
(3) _____ (6) _____

who have made a certain new and useful invention, hereby sell, assign and transfer unto

Bookham Technology PLC
90 Milton Park
Abingdon, Oxfordshire, U.K. OX14 4RY

its successors and assigns (hereinafter designated "ASSIGNEE") the entire right, title and interest for the United States of America as defined in 35 U.S.C. 100 in the invention entitled

OPTICAL LINK BETWEEN ELECTRICAL CIRCUIT BOARDS

(a) for which an application for United States Letters Patent was filed on _____, and identified by United States Serial No. _____; or

(b) for which an application for United States Letters Patent was executed on _____,

and the undersigned hereby authorize and request the United States Commissioner of Patents and Trademarks to issue any and all United States Letters Patent which may be granted therefor and/or that claim priority thereto and any and all extensions, divisions, reissues, substitutes, renewals, continuations, or continuations-in-part thereof and/or that claim priority thereto, and the right to all benefits under the International Convention for the Protection of Industrial Property to the said ASSIGNEE, for its interest as ASSIGNEE, its successors, assigns and legal representatives; the undersigned agree that the attorneys of record in said application shall hereafter act on behalf of said ASSIGNEE;

AND the undersigned hereby agree to transfer a like interest, and to render all necessary assistance in making application for and obtaining original, divisional, reissued or extended Letters Patent of the United States, upon request of the said ASSIGNEE, its successors, assigns and legal representatives, and without further remuneration, in and to any improvements, and applications for patent based thereon, growing out of or related to the said invention; and to execute any papers by the said ASSIGNEE, its successors, assigns and legal representatives, deemed essential to ASSIGNEE's full protection and title in and to the invention hereby transferred.

AND the undersigned hereby grants the firm of FLESHNER & KIM, LLP the power to insert on this assignment any further identification that may be necessary or desirable in order to comply with the rules of any issuing authority, including the United States Patent and Trademark Office, for recordation of this document.

SIGNED on the dates indicated inside our signatures:
INVENTORS

DATE SIGNED

1) Arnold Peter Roscoe HARPIN
Name: Arnold Peter Roscoe HARPIN

28/9/01

2) _____
Name:

3) _____
Name:

4) _____
Name:

5) _____
Name:

6) _____
Name: