

Docket No. 57067US002

## RECORDATION FORM COVER SHEET

## PATENTS ONLY

To: The Honorable Commissioner of Patents and Trademarks  
Please record the attached original document(s) or copy thereof.

## 1. Name of conveying party(ies)/(Execution Date)

Nicholas A. Lee 02-22-2002  
Harry A. Loder 02-21-2002  
Larry R. Cox 02-20-2002

## Name and address of receiving party(ies):

3M Innovative Properties Company  
P.O. Box 33427  
St. Paul, Minnesota 55133-3427

Additional names of conveying party(ies) attached?

☐ Yes ☐ No

## 3. Nature of Conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other: \_\_\_\_\_

Additional names of conveying party(ies) attached?

☐ Yes ☒ No

☐ If this is a request for correction of a previously recorded document, a copy of the previously recorded assignment and previous Notice of Recordation is enclosed.

## 4. Application number or patent number:

☐ This document is being filed with a new patent application on \_\_\_\_\_  
☒ This document is to be recorded against the following patent application or patent: 10/022,474  
☐ Patent Cooperation Treaty (PCT):  
Enter PCT application number only if a U.S. Application Number has not been assigned: \_\_\_\_\_

Additional Numbers Attached? ☐ Yes ☒ No

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

Name: Néstor F. Ho,  
Office of Intellectual Property Counsel  
3M Innovative Properties Company  
P.O. Box 33427  
St. Paul, Minnesota 55133-3427

Phone Number: 512-984-7443

## 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: 13-3723

## 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. Charges to deposit account are authorized, as indicated herein.

Néstor F. Ho

Printed Name of Attorney/Agent  
Registration No. 39,460

Signature

February 27, 2002

Date

Pages: Total number of pages including COVER SHEET, attachments and documents:

5

Mail documents to be recorded with required cover sheet information to:  
Commissioner for Patents, Box Assignments, Washington, DC 20231

(Form PTO-1595 - Modified from PTO's Rev 03/01)

q:\3mipco forms and samples\assignment recordation cover sheet - inventors to company - new.doc 4/26/01

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PATENT  
REEL: 012426 FRAME: 0501

Docket No. 57067US002

ASSIGNMENT

Whereas we, the below named inventors, with residences and citizenships as indicated below; have made an invention in

**OPTICAL FIBER CONNECTOR HAVING COMPLIANT ALIGNMENT FEATURES**

and have executed an application for Letters Patent of the United States of America based thereon; which application is identified in the United States Patent and Trademark Office as U.S. Application Serial No. 10/022,474, filed December 18, 2001;

Now, therefore, for good and valuable consideration, receipt of which is acknowledged, we have individually and jointly agreed to assign and transfer and do hereby assign and transfer unto the 3M INNOVATIVE PROPERTIES COMPANY, a wholly owned subsidiary of MINNESOTA MINING AND MANUFACTURING COMPANY, and a corporation of Delaware, having its principal office at Saint Paul, Minnesota, its successors and assigns, the entire right, title, and interest in and to the said invention and application, and in and to any division or continuation (in whole or in part) of said application, and in and to any and all improvements in the said invention made by us or any of us or made jointly with others (provided any such improvement is made during, or within one year after the termination of, the employment by Minnesota Mining and Manufacturing Company and any of its existing or future subsidiaries of whichever of us, solely or jointly with one or more others, has made the same), and in and to any and all Letters Patent, reexaminations, reissues, or extensions thereof, of the United States of America and countries foreign thereto (including the right to apply for Letters Patent, Utility Models, or Inventors' Certificates in foreign countries in its own name and to claim any priority rights for such foreign applications to which such applications are entitled under international conventions, treaties, or otherwise), which have been or may be granted thereon or on any divisional, continuation (in whole or in part), renewal, reexamination, reissue, or other or further application based in whole or in part upon the said invention or improvements thereon, to be held and enjoyed as fully and exclusively as they would have been by us or any of us had this assignment and transfer not been made,

We do further agree for ourselves and for our heirs, executors, and administrators, to execute and deliver without further consideration any further applications, assignments, and documents, and to perform such other acts as we lawfully may, that may be deemed necessary by the said Company, its successors, assigns, and nominees, fully to secure its right, title, and interest as aforesaid and to obtain or maintain Letters Patent, Utility Models, or Inventors' Certificates in any and all countries;

And we do hereby authorize and request the Commissioner of Patents to issue any and all Letters Patent which may be granted upon any of the said applications, to the said 3M Innovative Properties Company, as the assignee of the entire right, title, and interest therein.

  
\_\_\_\_\_  
Nicholas A. Lee

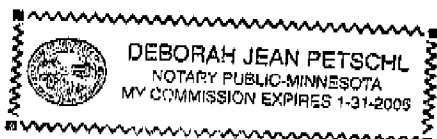
Residence: Woodbury, Minnesota U.S.A.

Citizenship: United States of America

STATE OF MINNESOTA )  
                                  ) ss.  
COUNTY OF RAMSEY )

On this 22nd day of February, 2002, before me personally appeared the above-named Nicholas A. Lee, personally known by me, and known by me to be the person described in and who executed the foregoing instrument, and who acknowledged that said person executed the same as said person's free act and deed, on the day and year aforesaid.

(Seal)

  
\_\_\_\_\_  
Notary Public

Docket No. 57067US002

\_\_\_\_\_  
Harry A. Loder  
Residence: Austin, Texas U.S.A.  
Citizenship: United States of America

STATE OF TEXAS        )  
                          ) ss.  
COUNTY OF TRAVIS    )

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, before me personally appeared the above-named Harry A. Loder, personally known by me, and known by me to be the person described in and who executed the foregoing instrument, and who acknowledged that said person executed the same as said person's free act and deed, on the day and year aforesaid.

(Seal)

\_\_\_\_\_  
Notary Public

\_\_\_\_\_  
Larry R. Cox  
Residence: Austin, Texas U.S.A.  
Citizenship: United States of America

STATE OF TEXAS        )  
                          ) ss.  
COUNTY OF TRAVIS    )

On this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, before me personally appeared the above-named Larry R. Cox, personally known by me, and known by me to be the person described in and who executed the foregoing instrument, and who acknowledged that said person executed the same as said person's free act and deed, on the day and year aforesaid.

(Seal)

\_\_\_\_\_  
Notary Public

Docket No. 57067US002

ASSIGNMENT

Whereas we, the below named inventors, with residences and citizenships as indicated below; have made an invention in

**OPTICAL FIBER CONNECTOR HAVING COMPLIANT ALIGNMENT FEATURES**

and have executed an application for Letters Patent of the United States of America based thereon; which application is identified in the United States Patent and Trademark Office as U.S. Application Serial No. 10/022,474, filed December 18, 2001;

Now, therefore, for good and valuable consideration, receipt of which is acknowledged, we have individually and jointly agreed to assign and transfer and do hereby assign and transfer unto the 3M INNOVATIVE PROPERTIES COMPANY, a wholly owned subsidiary of MINNESOTA MINING AND MANUFACTURING COMPANY, and a corporation of Delaware, having its principal office at Saint Paul, Minnesota, its successors and assigns, the entire right, title, and interest in and to the said invention and application, and in and to any division or continuation (in whole or in part) of said application, and in and to any and all improvements in the said invention made by us or any of us or made jointly with others (provided any such improvement is made during, or within one year after the termination of, the employment by Minnesota Mining and Manufacturing Company and any of its existing or future subsidiaries of whichever of us, solely or jointly with one or more others, has made the same), and in and to any and all Letters Patent, reexaminations, reissues, or extensions thereof, of the United States of America and countries foreign thereto (including the right to apply for Letters Patent, Utility Models, or Inventors' Certificates in foreign countries in its own name and to claim any priority rights for such foreign applications to which such applications are entitled under international conventions, treaties, or otherwise), which have been or may be granted thereon or on any divisional, continuation (in whole or in part), renewal, reexamination, reissue, or other or further application based in whole or in part upon the said invention or improvements thereon, to be held and enjoyed as fully and exclusively as they would have been by us or any of us had this assignment and transfer not been made,

We do further agree for ourselves and for our heirs, executors, and administrators, to execute and deliver without further consideration any further applications, assignments, and documents, and to perform such other acts as we lawfully may, that may be deemed necessary by the said Company, its successors, assigns, and nominees, fully to secure its right, title, and interest as aforesaid and to obtain or maintain Letters Patent, Utility Models, or Inventors' Certificates in any and all countries;

And we do hereby authorize and request the Commissioner of Patents to issue any and all Letters Patent which may be granted upon any of the said applications, to the said 3M Innovative Properties Company, as the assignee of the entire right, title, and interest therein.

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Nicholas A. Lee

Residence: Woodbury, Minnesota U.S.A.

Citizenship: United States of America

STATE OF MINNESOTA )  
                                  ) ss.  
COUNTY OF RAMSEY )


On this \_\_\_\_\_ day of \_\_\_\_\_, before me personally appeared the above-named Nicholas A. Lee, personally known by me, and known by me to be the person described in and who executed the foregoing instrument, and who acknowledged that said person executed the same as said person's free act and deed, on the day and year aforesaid.

(Seal)

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Notary Public

Docket No. 57067US002


  
\_\_\_\_\_  
Harry A. Loder  
Residence: Austin, Texas U.S.A.  
Citizenship: United States of America

STATE OF TEXAS        )  
                              ) ss.  
COUNTY OF TRAVIS    )

On this 21<sup>st</sup> day of FEBRUARY 2002, before me personally appeared the above-named Harry A. Loder, personally known by me, and known by me to be the person described in and who executed the foregoing instrument, and who acknowledged that said person executed the same as said person's free act and deed, on the day and year aforesaid.



  
\_\_\_\_\_  
Jenny M. Thompson  
Notary Public

  
\_\_\_\_\_  
Larry R. Cox  
Residence: Austin, Texas U.S.A.  
Citizenship: United States of America

STATE OF TEXAS        )  
                              ) ss.  
COUNTY OF TRAVIS    )

On this 20<sup>th</sup> day of February 2002 before me personally appeared the above-named Larry R. Cox, personally known by me, and known by me to be the person described in and who executed the foregoing instrument, and who acknowledged that said person executed the same as said person's free act and deed, on the day and year aforesaid.



  
\_\_\_\_\_  
Sondra Barnett  
Notary Public