

03-13-2002

FORM PTO-



U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

102013980

To the Honorable Commissioner of Patents and Trademarks, please return the attached original documents or copy thereof.

1. Name of conveying party(ies):
George H. Thompson

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

3. Nature of conveyance: *d: 27-02*

Assignment Merger

Security Agreement Change of Name

Other _____

Execution Date: December 21, 2001

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

Name: Nortel Networks Limited

Internal Address: _____

Street Address: 2351 Boulevard Alfred-Nobel

City: St. Laurent Quebec State: Canada Zip Code: H4S 2A9

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

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)
09/993,822

B. Patent No.(s)

Additional numbers attached: Yes No

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

Name: William M. Lee, Jr.

Internal Address: Lee, Mann, Smith, McWilliams, Sweeney & Ohlson

Street Address: P.O. Box 2786

City: Chicago State: Illinois Zip: 60690-2786

6. Total number of applications and patents involved: one

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

Enclosed

Authorized to be charged to deposit account

8. Deposit account number:
12-0913
(Attach duplicate copy of this form 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.

William M. Lee, Jr. *William M. Lee, Jr.* February 12, 2002

Name of Person Signing Signature Date

Total number of pages including cover sheet, attachments and document 3

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

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**ASSIGNMENT
NORTEL NETWORKS LIMITED**

For value received, I (we) the undersigned, whose full post office addresses is (are) adjacent my (our) name(s), hereby sell, assign and transfer to

the address of whose registered office is: **NORTEL NETWORKS LIMITED**
2351 Boulevard Alfred-Nobel,
St Laurent,
Quebec H4S 2A9
Canada

(hereinafter called "Nortel"), its successors, assigns and legal representatives, the entire right, title and interest for all countries, including any and all priority rights, in and to certain inventions relating to

ARRAYED WAVEGUIDE GRATING

identified in Nortel's records as 13659IDUS02U and set forth in an application for letters patent of the United States of America Serial No. filed November 6, 2001.

and all rights and privileges under any and all letters patent in all countries that may be granted for said inventions, to the intent that any such patent or other intellectual property protection shall be issued to Nortel alone or to its successors, assigns or legal representatives.

I (We) undertake without charge to Nortel but at its request and expense to execute all documents, take all oaths and do all reasonable acts to enable Nortel, its successors, assigns and legal representatives to procure and maintain patent or other intellectual property protection for said inventions in any and all countries and to vest title thereto in Nortel, its successors, assigns or legal representatives.

I (We) agree that a copy of this Assignment shall be deemed a full legal and formal equivalent of any assignment, consent or the like which may be required in any country for any purpose and more particularly in proof of the irrevocable right of Nortel, its successors, assigns and legal representatives to apply for and maintain patent or other intellectual property protection for said inventions in any and all countries and to claim the benefit of any right of priority.

This Assignment does not form part of a larger transaction or series of transactions in respect of which the amount or value or aggregate amount or value of the consideration exceeds £60,000.

Witness Signature	James E. Whiteaway 62 Pishiobury Drive Sawbridgeworth, Hertfordshire CM21 0AF United Kingdom	Date: Assignor
Witness Name (print)		

Additional Assignors on attached Page 2

