

03-15-2002

IN TI



D TRADEMARK OFFICE

Docket No.: LWM-A102

102018368

I hereby certify that this transmittal of the below described document is being deposited with the United States Postal Service in an envelope bearing First Class Postage and addressed to the U.S. Patent and Trademark Office, Assignment Branch, North Tower Building, Suite 10C35, Washington, D.C., 20231, on the below date of deposit.

Date of Deposit:	02/04/02	Name of Person Making the Deposit:	Julie Williams	Signature of the Person Making the Deposit:	<i>Julie Williams</i>
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The Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please record the attached original document(s) or copy(ies) thereof:

**3-4-02** Transmittal of an Assignment

1. Name of conveying party(ies): Fan Zhong and Michael Lennon

Serial No.: 09/917,438

Group Art Unit:

Filed: 07/27/01

Examiner:

2. Name and Address of Receiving party(ies): LIGHTWAVE MICROSYSTEMS CORPORATION  
2911 Zanker Road, San Jose, CA 95134

3. Nature of Conveyance: Assignment  
Execution Date: 12/17/01 and 01/24/02

4. New Patent Application entitled: A GeBPSG TOP CLAD FOR A PLANAR LIGHTWAVE CIRCUIT

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

Name: Glenn D. Barnes

Address: Wagner, Murabito &amp; Hao LLP

Two North Market Street, Third Floor, San Jose, CA 95113

Phone: (408) 938-9060

6. Total Number of applications and patents involved: ONE

7. Fee Calculation (for other than a small entity)

Assignment Recordation Fee, per property

1 X \$40.00

**Total Fees** (37 CFR 3.41)

\$40.00

X The amount of \$ 40.00 is enclosed

8. At any time during the pendency of this application, please charge any additional fees required or credit any overpayments to Deposit Account 23-0085. A duplicate copy of this transmittal is enclosed.

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.

Name: Glenn D. Barnes

Reg. No. 42,293

Date: 02/04/02

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01 FC:581

40.00 DP

Attorney Docket No.: LWM-A102

**Assignment to Lightwave Microsystems Corporation**

In consideration of good and valuable consideration, receipt of which is hereby acknowledged, I/we

Fan Zhong  
do hereby sell, assign, and transfer unto Lightwave Microsystems Corporation (hereinafter called Lightwave), a Delaware Corporation having its principal place of business at 2911 Zanker Road, San Jose, CA 95134, and its successors and assigns, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements, including the right of priority in, to, and under, the application for the United States patent entitled:

A GeBPSG TOP CLAD FOR A PLANAR LIGHTWAVE CIRCUIT

..... filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; or

X Serial No.: 09/917,438 filed on 07/27/01 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, I/we agree promptly upon request of Lightwave, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Lightwave, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me/us in lending such cooperation and assistance are paid by Lightwave.

I/we further covenant with Lightwave, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned;

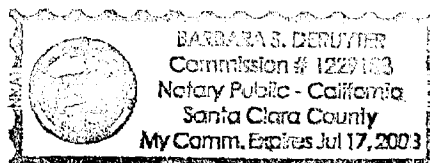
In witness whereof, I/we hereunto set my/our hand(s) and seal:

Inventor's Signature: Fan ZhongDate: 12-17-2001State of CaliforniaCounty of Santa Clara

Before me this 17th day of Dec, 2001 personally appeared Fan Zhong  
who is X personally known or        proved to me on the basis of satisfactory evidence to be the person  
who acknowledged the foregoing instrument of assignment to be X his or        her free act and deed.

Notary Stamp/Seal

Notary Public



Attorney Docket No.: IWM-A102

**Assignment to Lightwave Microsystems Corporation**

In consideration of good and valuable consideration, receipt of which is hereby acknowledged, I/we

Michael Lennon  
do hereby sell, assign, and transfer unto Lightwave Microsystems Corporation (hereinafter called Lightwave), a Delaware Corporation having its principal place of business at 2911 Zanker Road, San Jose, CA 95134, and its successors and assigns, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements, including the right of priority in, to, and under, the application for the United States patent entitled:

A GeBPSG TOP CLAD FOR A PLANAR LIGHTWAVE CIRCUIT

filed herewith and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; or

Serial No.: 09/917,438 filed on 07/27/01 and the inventions set forth and described therein, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor;

And for the above consideration, I/we agree promptly upon request of Lightwave, its successors or assigns, to execute and deliver without further compensation any power of attorney, assignment, application, whether original, continuation, divisional or reissue, or other papers which may be necessary or desirable fully to secure to Lightwave, its successors and assigns, the inventions described in said application and all patent rights therein, in the United States and in any country foreign thereto, and to cooperate and assist in the prosecution of interference proceedings involving said inventions and in the adjudication or reexamination of said Letters Patent provided the expenses which may be incurred by me/us in lending such cooperation and assistance are paid by Lightwave.

I/we further covenant with Lightwave, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned;

In witness whereof, I/we hereunto set my/our hand(s) and seal:

Inventor's Signature: Michael Lennon

Date: 1-24-02

State of California

County of Santa Clara

Before me this 24th day of Jan 2002 personally appeared Michael Lennon who is X personally known or proven to me on the basis of satisfactory evidence to be the person who acknowledged the foregoing instrument of assignment to be X his or her free act and deed.

Notary Stamp/Seal

Barbara S. DeRuyter  
Notary Public

