

04-02-2002

Form PTO-1595  
(Rev. 03/01)  
OMB No. 0651-0027 (exp. 5/31/2002)



102039510

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

Atty Docket No.: NUFO-029

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

## 1. Name of conveying party(ies):

Mark E. McDonald; Andrew Daiber; William B. Chapman;  
Nadim Maluf

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

03/15/02

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

Name: **New Focus, Inc.**

Internal Address: \_\_\_\_\_

Street Address: **5215 Hellyer Avenue**City: **San Jose** State: **CA** Zip: **95138**☐ Other

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other \_\_\_\_\_Execution Date: 3/15/02, 3/15/02, 3/15/02 3/15/02.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: **March 15, 2002.**

A. Patent Application No.(s)

B. Patent Registration No.(s)

Additional number(s) attached ☐ Yes ☒ No

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

Name: **Bozicevic, Field & Francis LLP**Internal Address: **200 Middlefield Road, Suite 200**City: **Menlo Park** State: **California** Zip: **94025**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:

**50-0815**

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

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.*

**ROBERT C. HALL, Reg. No. 39,209****03/15/2002**

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: **5**

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patent & Trademarks, Box Assignments  
Washington, D.C. 20231

04/01/2002 AAHMED1 00000076 500815 10099649

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**PATENT**  
**REEL: 012726 FRAME: 0968**

<b>ASSIGNMENT OF APPLICATION (JOINT)</b>  Address to: <b>Box Assignment</b> Commissioner for Patents Washington, D.C. 20231	Attorney Docket Number	NUFO029
	First Named Inventor	McDonald
	Application Number	To Be Assigned
	Filing Date	Herewith
	Group Art Unit	To Be Assigned
	Examiner Name	To Be Assigned
Title: "TUNABLE EXTERNAL CAVITY LASER"		

THIS ASSIGNMENT, by Mark E. McDonald, Andrew Daiber, William B. Chapman and Nadim Maluf (hereinafter referred to as the assignors), residing in Milpitas, California, Palo Alto, California and Sunnyvale, California respectively, witnesseseth:

WHEREAS, the said assignors have invented certain new and useful improvements in:

**"TUNABLE EXTERNAL CAVITY LASER"**

\_\_\_ for which an application for a United States Patent was filed on \_\_, Application No. \_\_,  
 \_\_\_ for which an application for a United States Patent was executed on \_\_, and


WHEREAS, New Focus, Inc. a Corporation duly organized under and pursuant to the laws of Delaware, and having its principal place of business at 5215 Hellyer Ave., San Jose, CA 95138-1001 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said invention and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW THEREFORE, in good and sufficient consideration, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto the assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned invention, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations, and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee, for its own use and behalf and the use and behalf of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said invention and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said invention, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said invention in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said invention, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said invention and the Letters Patent to be issued thereon for the sole use and behalf of said assignee, its successors, legal representatives and assigns.

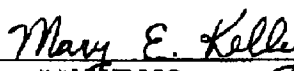
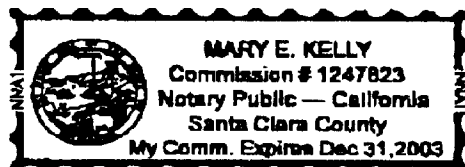
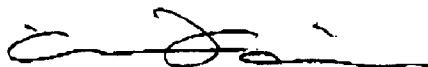
Name of Inventor: Mark E. McDonaldWITNESS MY HAND at San Jose, California, this 15<sup>th</sup> day of March, 2002.  
Mark E. McDonald

STATE OF CALIFORNIA )

COUNTY OF Santa Clara ) ss.On this 15<sup>th</sup> day of March, 2002, before me,

Mary E. Kelly, a Notary Public, personally appeared Mark E. McDonald, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person/s whose name is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacities, and that by his/her/their signature/s on the instrument the person/s or the entity upon behalf of which the person/s acted, executed the instrument.

WITNESS my hand and official seal.

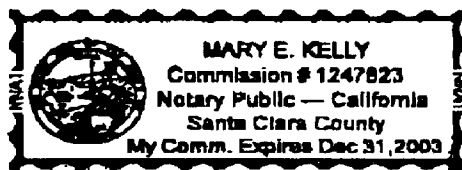
  
NOTARY PUBLICName of Inventor: Andrew DaiberWITNESS MY HAND at San Jose, California, this 15<sup>th</sup> day of March, 2002.  
Andrew Daiber

STATE OF CALIFORNIA )

COUNTY OF Santa Clara ) ss.On this 15<sup>th</sup> day of March, 2002, before me,

Mary E. Kelly, a Notary Public, personally appeared Andrew Daiber, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person/s whose name is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacities, and that by his/her/their signature/s on the instrument the person/s or the entity upon behalf of which the person/s acted, executed the instrument.

WITNESS my hand and official seal.

  
NOTARY PUBLIC

Name of Inventor: William B. Chapman

WITNESS MY HAND at San Jose, California, this 15<sup>th</sup> day of March, 2002.



William B. Chapman

STATE OF CALIFORNIA )

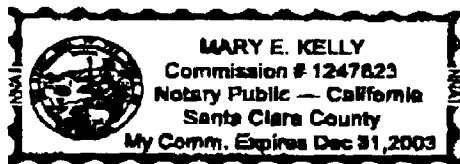
COUNTY OF Santa Clara )

) ss.

On this 15<sup>th</sup> day of March, 2002, before me,

Mary E. Kelly, a Notary Public, personally appeared William B. Chapman, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person/s whose name is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacities, and that by his/her/their signature/s on the instrument the person/s or the entity upon behalf of which the person/s acted, executed the instrument.

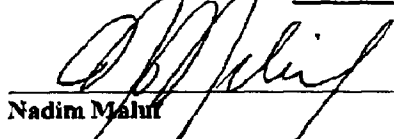
WITNESS my hand and official seal.



Mary E. Kelly  
NOTARY PUBLIC

Name of Inventor: Nadim Maluf

WITNESS MY HAND at SAN JOSE, California, this 15<sup>th</sup> day of March, 2002.



Nadim Maluf

STATE OF CALIFORNIA )

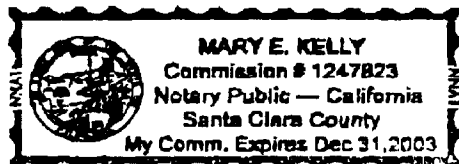
COUNTY OF Santa Clara )

) ss.

On this 15<sup>th</sup> day of March, 2002, before me,

Mary E. Kelly, a Notary Public, personally appeared Nadim Maluf, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person/s whose name is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacities, and that by his/her/their signature/s on the instrument the person/s or the entity upon behalf of which the person/s acted, executed the instrument.

WITNESS my hand and official seal.



Mary E. Kelly  
NOTARY PUBLIC