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FORM PTO-159a  
(Rev. 3/01)  
OMD NO. 0651-0011 exp. 5/31/2002

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

1. Name of conveying party(ies): **3-11-02**

Chang-Hee Lee, Wayne V. Sorin and  
Steven L. Shepard

Additional name(s) of conveying party(ies) attached?

☒ No ☐ Yes

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

Name: Novera Optics, Inc.

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

Street Address: 401 Charcot Avenue

City: San Jose State/Province: CA Zip: 95131

Country: U.S.A.

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

3. Nature of Conveyance

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

Execution Date(s): February 25, 2002

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) 10/024,905

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

**Thomas S. Ferrill**

Name: Blakely, Sokoloff, Taylor & Zafman LLP

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

Street Address: 12400 Wilshire Boulevard, 7<sup>th</sup> Floor

City: Los Angeles State: California Zip: 90025

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:

02-2666

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

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9. Statement and signature.

*To the best of my knowledge and believe, the foregoing is true and correct and any attached copy is a true copy of the original document*

Thomas S. Ferrill, Reg. No. 42,532

Name of Person Signing

*Thomas S. Ferrill*

Signature

*2002-25-02*

Date

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

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

Assistant Commissioner of Patents, Box Assignments

Washington, D.C. 20231

Atty Docket No. 005489.P009

04/02/2002 6TON11 00000153 10024905

01 FC:581

40.00 DP

**PATENT**  
**REEL: 012730 FRAME: 0633**

No.: 005489.P009 (For Execution After Filing Patent Application)

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We,  
the undersigned, Chang-Hee Lee, Wayne V. Sorin and Steven L. Shepherd

hereby sell, assign, and transfer to Novera Optics, Inc.  
a corporation of Delaware, having a principal place of business at  
401 Charcot Avenue, San Jose, California 95131, ("Assignee"),  
and its successors, assigns, and legal representatives, the entire right, title, and interest for the  
United States and all foreign countries, in and to any and all improvements that are disclosed in  
the application for the United States patent that was filed December 18, 2001 and assigned  
Application No. 10/024,905 and is entitled

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and in and to said application and all divisional applications, continuation applications,  
continued prosecution applications, continuation-in-part applications, substitute applications,  
renewal applications, reissue applications, reexaminations, extensions, and all other patent  
applications that have been or shall be filed in the United States and all foreign countries on  
any of said improvements; and in and to all original patents, reissued patents, reexamination  
certificates, and extensions that have been or shall be issued in the United States and all  
foreign countries on said improvements; and in and to all rights of priority resulting from the  
filing of said United States application;

agree that said Assignee may apply for and receive a patent or patents for said  
improvements in its own name; and that, when requested, without charge to, but at the  
expense of, said Assignee, its successors, assigns, and legal representatives, to carry out in  
good faith the intent and purpose of this Assignment, the undersigned will execute all divisional  
applications, continuation applications, continued prosecution applications, continuation-in-part  
applications, substitute applications, renewal applications, reissue applications, reexaminations,  
extensions, and all other patent applications on any and all said improvements; execute all  
rightful oaths, assignments, powers of attorney, and other papers; communicate to said  
Assignee, its successors, assigns, and representatives all facts known to the undersigned  
relating to said improvements and the history thereof; and generally assist said Assignee, its  
successors, assigns, or representatives in securing and maintaining proper patent protection  
for said improvements and for vesting title to said improvements, and all applications for  
patents and all patents on said improvements, in said Assignee, its successors, assigns, and  
legal representatives; and

covenant with said Assignee, 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.

Date: \_\_\_\_\_, 2002

Name: Chang-Hee Lee

Date: Feb. 8, 2002

Wayne V. Sorin  
Name: Wayne V. Sorin

Date: Feb 11, 2002

Steven L. Shepherd  
Name: Steven L. Shepherd

State of: \_\_\_\_\_ }

County of: \_\_\_\_\_ }

Assignment Document Return Address:  
SS. BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
12400 Wilshire Blvd., Seventh Floor  
Los Angeles, California 90025-1026  
(408) 720-8598

On this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_, before me, \_\_\_\_\_,  
the undersigned Notary Public, personally appeared \_\_\_\_\_

☐ personally known to me ☐ proved to me on the basis of satisfactory evidence to  
be the person(s) whose name(s) subscribed to the within instrument, and  
acknowledged that executed it.  
WITNESS my hand and official seal.

\_\_\_\_\_  
Notary's Signature

No.: 005489.P009 (For Execution After Filing Patent Application)

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We,  
the undersigned, Chang-Hee Lee, Wayne V. Sorin and Steven L. Shepard

hereby sell, assign, and transfer to Novera Optics, Inc.  
a corporation of Delaware, having a principal place of business at  
401 Charcot Avenue, San Jose, California 95131, ("Assignee"),  
and its successors, assigns, and legal representatives, the entire right, title, and interest for  
the United States and all foreign countries, in and to any and all improvements that are  
disclosed in the application for the United States patent that was filed December 18, 2001  
and assigned Application No. 10/024,905 and is entitled

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and in and to said application and all divisional applications, continuation applications,  
continued prosecution applications, continuation-in-part applications, substitute applications,  
renewal applications, reissue applications, reexaminations, extensions, and all other patent  
applications that have been or shall be filed in the United States and all foreign countries on  
any of said improvements; and in and to all original patents, reissued patents, reexamination  
certificates, and extensions that have been or shall be issued in the United States and all  
foreign countries on said improvements; and in and to all rights of priority resulting from the  
filing of said United States application;

agree that said Assignee may apply for and receive a patent or patents for said  
improvements in its own name; and that, when requested, without charge to, but at the  
expense of, said Assignee, its successors, assigns, and legal representatives, to carry out in  
good faith the intent and purpose of this Assignment, the undersigned will execute all  
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continuation-in-part applications, substitute applications, renewal applications, reissue  
applications, reexaminations, extensions, and all other patent applications on any and all said  
improvements; execute all rightful oaths, assignments, powers of attorney, and other papers;  
communicate to said Assignee, its successors, assigns, and representatives all facts known to  
the undersigned relating to said improvements and the history thereof; and generally assist  
said Assignee, its successors, assigns, or representatives in securing and maintaining proper  
patent protection for said improvements and for vesting title to said improvements, and all  
applications for patents and all patents on said improvements, in said Assignee, its  
successors, assigns, and legal representatives; and

covenant with said Assignee, 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.

Date: Feb. 04, 2002 Chang-Hee Lee  
Name: Chang-Hee Lee

Date: \_\_\_\_\_, 2002 \_\_\_\_\_  
Name: Wayne V. Sorin

Date: \_\_\_\_\_, 2002 \_\_\_\_\_  
Name: Steven L. Shepard

State of: \_\_\_\_\_ }  
County of: \_\_\_\_\_ } SS. Assignment Document Return Address:  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
12400 Wilshire Blvd., Seventh Floor  
Los Angeles, California 90025-1026  
(408) 720-8598

On this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_, before me, \_\_\_\_\_,  
the undersigned Notary Public, personally appeared \_\_\_\_\_

☐ personally known to me ☐ proved to me on the basis of satisfactory evidence to  
be the person(s) whose name(s) subscribed to the within instrument, and  
acknowledged that \_executed it.  
WITNESS my hand and official seal.

\_\_\_\_\_  
Notary's Signature