

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

04-05-2002

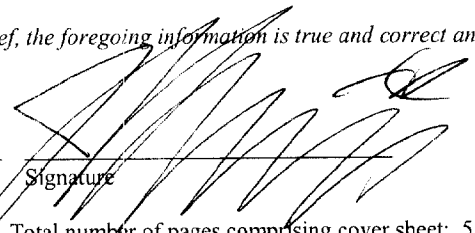
U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office



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

<p>1. Name of conveying party(ies):</p> <ol style="list-style-type: none"> <li>Demetri Psaltis</li> <li>Christophe Moser</li> <li>Greg Steckman</li> <li>Karsten Buse</li> <li>Ingo Nee</li> <li>Joerg Hukriede</li> <li>Joseph W. Goodman</li> </ol> <p>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>2. Name and address of receiving party(ies):</p> <p>California Institute of Technology 1200 East California Boulevard Pasadena, California 91125</p> <p>Additional name(s) &amp; address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p><b>CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8</b></p> <p>I hereby certify that this correspondence is, on the date shown below, is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Box Assignments, Washington, D. C. 20231.</p> <p>Date of Deposit: <u>March 7, 2002</u></p> <p>Name: <u>Jose Ramos</u></p>
<p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment  <input type="checkbox"/> Security Agreement  <input type="checkbox"/> Merger  <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other:</p> <p>Execution Date: <ol style="list-style-type: none"><li>March 2, 2002</li><li>January 28, 2002</li><li>March 1, 2002</li><li>February 2, 2002</li><li>March 5, 2002</li><li>March 5, 2002</li><li>February 1, 2002</li></ol></p>	<p>OFFICE OF THE REGISTER</p> <p>2002 MAR 15 AM 11:02</p> <p>FINANCE DIVISION</p>
<p>4. Application number(s) or patent number(s):</p> <p>If this document is being filed together with a new application, the execution date of the application is:</p> <p>A. Patent Application No.(s) 10/006,933</p> <p>B. Patent No.(s)</p> <p>Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	
<p>5. Name and address of party to whom correspondence concerning document should be mailed:</p> <p>J. D. Harriman II, Esq. COUDERT BROTHERS LLP 333 South Hope Street, Suite 2300 Los Angeles, California 90071</p>	<p>6. Total number of applications and patents involved: 1</p> <p>7. Total fee (37 CFR 1.21(h)): \$40.00</p> <p><input checked="" type="checkbox"/> Enclosed  <input type="checkbox"/> Authorized to be charged to deposit account</p> <p>8. Deposit account number:</p> <p>(Attach duplicate copy of this page if paying by deposit account)</p>
<p style="text-align: center;"><b>DO NOT USE THIS SPACE</b></p>	
<p>9. Statement and signature:</p> <p><i>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.</i></p> <p>J. D. Harriman II - Reg. No. 31,967 Typed Name and Reg. No.</p> <p> Signature</p> <p>March 7, 2002 Date</p> <p>Total number of pages comprising cover sheet: 5</p>	

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Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
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**PATENT**  
**REEL: 012744 FRAME: 0799**

**ASSIGNMENT**


For good and valuable consideration, the receipt of which is hereby acknowledged, I/We the undersigned, **DEMETRI PSALTIS; CHRISTOPHE MOSER; GREG STECKMAN; KARSTEN BUSE; INGO NEE; JOERG HUKRIEDE** and **JOSEPH W. GOODMAN** hereby sell(s), assign(s) and transfer(s) to **CALIFORNIA INSTITUTE OF TECHNOLOGY**, a University, located at 1200 East California Boulevard, Pasadena, California 91125, (“Assignee”), its successors, assigns and legal representatives, my/our entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in the application for United States Letters Patent, which is being filed concurrently herewith, and is entitled:

**“TUNABLE HOLOGRAPHIC DROP FILTER WITH  
QUASI PHASE-CONJUGATE FIBER COUPLING”**

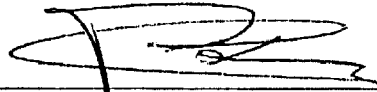
and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original and reissued patents which 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 Letters Patent 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, continuing, substitute, renewal, reissue, 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 do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding 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/have been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.


Dated: 3/5/02

  
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 Demetri Psaltis

Dated: 01/28/02

  
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 Christophe Moser

Dated: 3/1/02

  
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 Greg Steckman

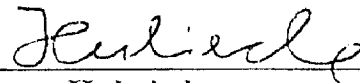
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 Joerg Hukriede

Dated: \_\_\_\_\_

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 Joseph W. Goodman

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**Demetri Psaltis**

Dated: \_\_\_\_\_

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**Christophe Moser**

Dated: \_\_\_\_\_

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**Greg Steckman**

Dated: February 02, 2002

Karsten Buse  
**Karsten Buse**

Dated: \_\_\_\_\_

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**Ingo Nee**

Dated: \_\_\_\_\_

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**Joerg Hukriede**

Dated: \_\_\_\_\_

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**Joseph W. Goodman**

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**Demetri Psaltis**

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**Christophe Moser**

Dated: \_\_\_\_\_

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**Greg Steckman**

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**Karsten Buse**

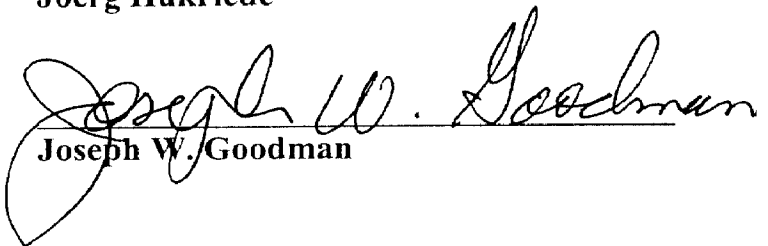
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**Ingo Nee**

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**Joerg Hukriede**

Dated: 2/1/02

  
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**Joseph W. Goodman**