

RECORDATION F  
PATENT

04-11-2002

ocket No.: PAT041US



102052162

hereof.

To the Honorable Commissioner for Patents: Please record the

1. Name of Conveying Party(ies):

Hwang, Wen-Yen  
Anselm, Klaus Alexander  
Zheng, Jun



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

☐ Yes

☒ No

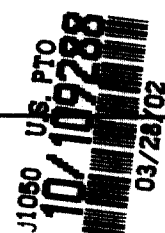
2. Name and Address of Party(ies) receiving an interest (assignee(s)):

Name: Applied Optoelectronics, Inc.  
Address: 13111 Jess Pirtle Boulevard  
Sugar Land, Texas 77478  
Country: USA

Additional name(s) and address(es) attached?

☐ Yes

☒ No



3-28-02

3. Nature of Conveyance:



Assignment



Merger



Change of Name



Verified Translation



Security Agreement



Other: \_\_\_\_\_

Execution Date: **03282001**

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date(s) of the application is: **March 28, 2002**

A. Patent Application No(s):

B. Patent No(s):

Others on additional sheet(s) attached?

☐ Yes

☒ No

10/109288

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

**N. Stephan Kinsella**  
Applied Optoelectronics, Inc.  
13111 Jess Pirtle Blvd.  
Sugar Land, Texas 77478  
(281) 295-1800 (telephone)  
(281) 295-1888 (facsimile)

6. Total number of applications and patents involved:

Application(s): 1  
+ Patent(s): \_\_\_\_\_  
= Total: 1

7. Total Fee (37 C.F.R. § 3.41) . . . . \$ **40.00**



Enclosed



Authorized to be charged to Deposit Account

8. Deposit Account No.: 50-1705

(Duplicate copy of this sheet attached)



Charge any underpayment or credit any overpayment to above 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.

**N. Stephan Kinsella**

Name of Person Signing

*N. S. Kinsella*  
Signature

03/28/01

Date

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

04/10/2002 LNUELLER 00000251 501705 10109288

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(40.00 CH)

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## ASSIGNMENT

We, Wen-Yen Hwang, Klaus Alexander Anselm and Jun Zheng, hereby declare that we are the inventors of the invention relating to **VCSEL WITH ANTIGUIDE CURRENT CONFINEMENT LAYER** described in an application for Letters Patent of the United States of America identified as Docket No. PAT041US, executed this same day.

For valuable consideration received, we hereby sell, assign, and transfer to Applied Optoelectronics, Inc., a Texas corporation, with its principal place of business located at 13111 Jess Pirtle Blvd., Sugar Land, Texas 77478, its successors, and assigns, our entire right, title, and interest, for all countries in and to said inventions, and all the rights and privileges under any and all applications and Letters Patents that may be granted therefore, and any divisions, continuations, reissues, and extensions thereof.

We agree that, when requested, we will, without charge to said Corporation but at its expense, sign all papers, take all rightful oaths, make all rightful declarations, and do all acts which may be necessary, desirable or convenient for securing and maintaining patents or other forms of protection for said inventions in any and all countries, and for vesting title thereto in said Corporation, its successors, assigns or nominees.

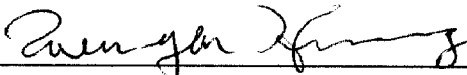
We agree that we will communicate to said Corporation or its representatives any facts known to us respecting said inventions and, when requested by said Corporation and at its expense, will testify in any legal proceedings, and generally do everything possible to aid said Corporation, its successors, assigns, and legal representatives or nominees, to obtain or enforce proper protection for said inventions in any and all countries.

We authorize and empower said Corporation, its successors, assigns or nominees, to make application for patent or other form of protection for said inventions in its or their own name, or in our names, in any and all countries, and to invoke and claim for any application for patent or other form of protection for said inventions filed by it or them, the benefit of the right or priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it, and to invoke and claim such right of priority without further written or oral authorization from us.

We hereby consent that a copy of this Assignment shall be deemed a full, legal, and formal equivalent of any Assignment, consent to file or like document, which may be required in any country for any purpose, and more particularly, in proof of the right of the said Corporation or its successors, assigns or nominees to apply for patent or other proper protection for said inventions, and to claim the aforesaid benefits of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it.

We covenant Applied Optoelectronics, Inc., its successors, assigns, legal representatives, and nominees, that to the best of my knowledge the right, title, and interest herein conveyed by us, is free and clear of any incumbrance, and that we have full right to convey the same as herein expressed.

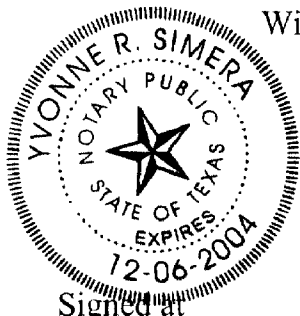
Signed at Sugar Land, Texas Dated 03/28/02

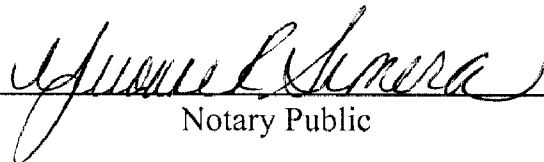
Inventor   
Wen-Yen Hwang

Address: 3107 Barnhill Lane, Sugar Land, Texas 77479

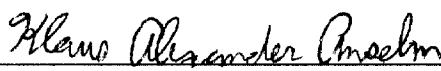
This 28<sup>th</sup> day of March, 2002, before me personally came the above-named Wen-Yen Hwang known as the individual who executed the foregoing Assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

Witness my hand and Notarial seal the day and year immediately above-written.



  
Notary Public

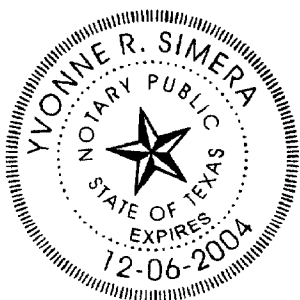
Signed at Sugar Land, Texas Dated 3-28-02

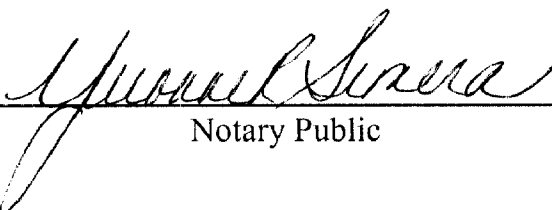
Inventor   
Klaus Alexander Anselm

Address: 2222 Settlers Way #214, Sugar Land, Texas 77478

This 28<sup>th</sup> day of March, 2002, before me personally came the above-named Klaus Alexander Anselm known as the individual who executed the foregoing Assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

Witness my hand and Notarial seal the day and year immediately above-written.



  
Notary Public

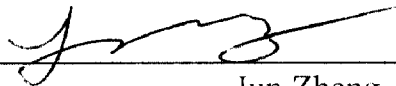
Signed at

Sugar Land, Texas

Dated

3/28/2002

Inventor

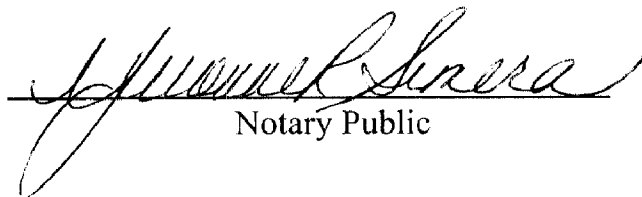
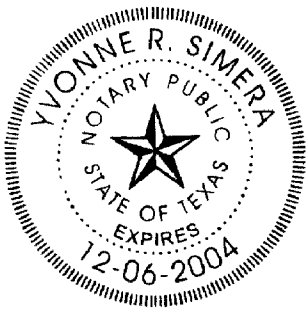
Jun Zheng

Address:

2767 Briargrove Drive #665, Houston, Texas 77057

This 28th day of March, 2002, before me personally came the above-named Jun Zheng known as the individual who executed the foregoing Assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

Witness my hand and Notarial seal the day and year immediately above-written.

  
Notary Public