

04-17-2002

RECORDATION FORM COVER SHEET
PATENTS ONLYU.S. Department of Commerce
Patent and Trademark Office
Attorney Docket No. 07033.0029
Attorney Customer Number: 22,852

APR 12 2002

102058001

Patents and Trademarks:

ATTN: BOX ASSIGNMENTS

Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):
Robert A. NORWOOD and Chia-Chi TENG

Name and address of receiving party(ies):

Name: Photon-X, Inc.

4-12-02

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

Internal Address:

3. Nature of conveyance:

Street Address: 291 Great Valley Parkway

☒ Assignment ☐ Merger

City: Malvern

☐ Security Agreement ☐ Change of Name

State: PA Zip Code: 19355

☐ Other:

Additional name(s) & Address(es) attached?

Execution Date: February 20, 2002 & February 21, 2002

☐ 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:

A. Patent Application Number(s):

09/994,722

B. Patent Number(s):

Additional numbers attached?

☐ Yes ☒ No

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

Name: Jonathan A. Hack

6. Total number of applications and registrations involved:
[number]

7. Total fee (37 CFR 3.41): \$40

☒ Enclosed (Please charge deficiency to deposit account)☐ Authorized to be charged to deposit account

Internal Address: FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER, L.L.P.

Street Address: 1300 I Street, N.W.

City: Washington, D.C.

State: Zip: 20005-3315

8. Deposit Account No.: 06-0916

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.

Jonathan A. Hack

Signature

April 10, 2002

Date

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

04/16/2002 6TON11 00000171 09994722

01 FC:581

40.00 DP

PATENT
REEL: 012784 FRAME: 0528

ASSIGNMENT

WHEREAS I, the below named inventor, hereinafter referred to as Assignor, have made an invention entitled:

THIN FILM OPTICAL WAVEGUIDES

for which I executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on November 28, 2001 (Serial No. 09/994,722); and

WHEREAS, PHOTON-X, INC., a corporation of Pennsylvania whose post office address is 291 Great Valley Parkway, Malvern, Pennsylvania (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that for and in consideration of the sum of One Dollar (\$1.00) in hand paid and other good and valuable consideration the receipt of which from Assignee is hereby acknowledged, I, as Assignor, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, my entire right, title, and interest in and to this invention, provisional application No. 60/253,078, filed November 28, 2000, and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of the above provisional application (if any), as well as all rights to claim priority on the basis of this application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and I hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

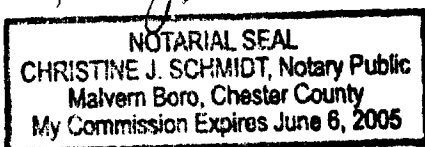
AND, I HEREBY covenant that I have the full right to convey the interest assigned by this Assignment, and I have not executed and will not execute any agreement in conflict with this Assignment;

AND, I HEREBY further covenant and agree that I will, without further consideration, communicate with Assignee, its successors and assigns, any facts known to me respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I have hereunto set our hands.

County of <u>Chester</u>)	Name: <u>Robert A. NORWOOD</u>
) ss.	Address: <u>114 Waterwillow Road</u>
)	<u>West Chester, PA 19380</u>
State of <u>Pennsylvania</u>)	By: <u>[Signature]</u>
	Date: <u>2/10/02</u>

Subscribed and sworn to before me this 20th day of February, 2002
Christine J. Schmidt, Notary Public



IN TESTIMONY WHEREOF, I have hereunto set our hands.

County of _____)	Name:	Chia-Chi TENG
)	Address:	1434 Greenwood Drive
)		Piscataway, NJ 08854
State of Pennsylvania)	By:	
		Date:	

Subscribed and sworn to before me this _____ day of _____, 20____
_____, Notary Public

ASSIGNMENT

WHEREAS I, the below named inventor, hereinafter referred to as Assignor, have made an invention entitled:

THIN FILM OPTICAL WAVEGUIDES

for which I executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on November 28, 2001 (Serial No. 09/994,722); and

WHEREAS, PHOTON-X, INC., a corporation of Pennsylvania whose post office address is 291 Great Valley Parkway, Malvern, Pennsylvania (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that for and in consideration of the sum of One Dollar (\$1.00) in hand paid and other good and valuable consideration the receipt of which from Assignee is hereby acknowledged, I, as Assignor, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, my entire right, title, and interest in and to this invention, provisional application No. 60/253,078 filed November 28, 2000, and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of the above provisional application (if any), as well as all rights to claim priority on the basis of this application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and I hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, I HEREBY covenant that I have the full right to convey the interest assigned by this Assignment, and I have not executed and will not execute any agreement in conflict with this Assignment;

AND, I HEREBY further covenant and agree that I will, without further consideration, communicate with Assignee its successors and assigns, any facts known to me respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I have hereunto set our hands.

County of _____)	Name: <u>Robert A. NORWOOD</u>
_____)	ss. Address: <u>114 Waterwillow Road</u>
_____)	<u>West Chester, PA 19380</u>
State of <u>Pennsylvania</u>)	By: _____
	Date: _____

Subscribed and sworn to before me this _____ day of _____, 20____
_____, Notary Public

