

06-13-2002



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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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

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

Keneth PURCHASE  
Robert COLE  
Anthony J. TICKNOR  
Kenneth MCGREER  
Peter D. ASCANIO

6.5.02

Additional name(s) of conveying  
party(ies) attached? [ A ] Yes [ ] No

## 3. Nature of conveyance:

[ X ] Assignment [ ] Merger  
[ ] Security Agreement [ ] Change of Name  
[ ] Other \_\_\_\_\_

Execution Date: 5/9;5/10;5/14/02

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

Name: Lightwave Microsystems Corporation

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

Street Address: 2911 Zanker Road

City: San Jose

State/Country: California, U.S.A. ZIP: 95134

Additional name(s) &amp; address(es) attached? [ ] Yes [ x ] 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: \_\_\_\_\_

A. Patent Application No.(s)

10/100,958

B. Patent No.(s)

Additional Numbers attached? [ ] Yes [ x ] No

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

Name: Gregory Turocy

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

Street Address: Amin & Turocy, L.L.P.  
24th Floor, 1900 East 9th Street

City: Cleveland

State: Ohio ZIP: 44114

## 6. Total number of applications and patents involved: [ 1 ]

7. Total fee (37 CFR 3.41) .....\$ 40.00

[ X ] Enclosed

[ ] Authorized to be charged to deposit account

## 8. Deposit account number:

50-1063

(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.*

Gregory Turocy

Name of Person Signing

Signature

May 16, 2002

Date

Reg. No. 36,952 Total number of pages including cover sheet attachments, and document: [ 8 ]

Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231PATENT  
REEL: 012974 FRAME: 0816

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ASSIGNMENT

For good and valuable consideration received of the hereinafter named assignee, receipt of which is hereby acknowledged, the undersigned

Kenneth Purchase  
179 Sherland Avenue  
Mountain View, California 94043

Robert Cole  
3080 Three Springs Road  
Mt. Hamilton, California 95140

Anthony J. Ticknor  
10952 Barranca Drive  
Cupertino, California 95014

Kenneth McGreer  
843 Gregory Court  
Fremont, California 94539

Peter D. Ascanio  
45315 Parkmeadow Drive  
Fremont, California 94539

hereby sell and assign to LIGHTWAVE MICROSYSTEMS CORPORATION, a corporation of California, having a place of business at 2911 Zanker Road, San Jose, California 95134, U.S.A., its successors and assigns, the entire right, title and interest, so far as concerns the United States and the Territories and Possessions thereof and all foreign countries, in and to the inventions entitled

**ATHERMAL AWG AND AWG WITH LOW POWER CONSUMPTION USING  
GROOVE OF CHANGEABLE WIDTH**

for which application for United States Letters Patent has been filed on March 18, 2002 under Serial No. 10/100,958, or was executed by the undersigned on the date below and is being filed concurrently herewith, said application for United States Letters Patent, any and all other applications for Letters Patent on said inventions in countries foreign to the United States, including all divisional, renewal, substitute, continuation and Convention applications based in whole or in part upon said inventions or upon said applications, and any and all Letters Patent and reissues and extensions of Letters Patent granted for said inventions or upon said applications, and every priority right that is or may be predicated upon or arise from said inventions, said applications and said Letters Patent; said assignee being hereby authorized to file patent applications in any or all countries on any or all said inventions in the name of the undersigned or in the name of said assignee or otherwise as said assignee may deem advisable, under the International Convention or otherwise; the Commissioner of Patents and Trademarks of the United States of America and the empowered officials of all other governments being hereby authorized to issue or transfer all said Letters Patent to said assignee in accordance herewith; this assignment being under covenant, not only that full power to make the same is had by the undersigned, but also that such assigned right is not encumbered by any grant, license, or other right heretofore given, and that the undersigned

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will do all acts reasonably serving to assure that said inventions, patent applications and Letters Patent shall be held and enjoyed by said assignee as fully and entirely as the same could have been held and enjoyed by the undersigned if this assignment had not been made, and particularly to execute and deliver to said assignee all lawful documents including petitions, specifications, oaths, assignments, invention disclaimers, and lawful affidavits in form and substance which may be requested by said assignee, to furnish said assignee with all facts relating to said inventions or the history thereof and any and all documents, photographs, models, samples or other physical exhibits which may be useful for establishing the facts of conception, disclosure and reduction to practice of said inventions, and to testify in any proceedings relating to said inventions, patent applications and Letters Patent.

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## ASSIGNMENT

Signed: *Kenneth Purchase* Date: 5/14/02  
Kenneth Purchase

CERTIFICATE OF ACKNOWLEDGMENT

State of California

County of Santa Clara

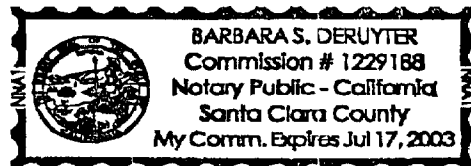
On May 14, 2002 before me, Barbara S. deRuyter, Notary Public,

personally appeared Kenneth Purchase.  
Name(s) of Signer(s)

X personally known to me - OR -    proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.


*Barbara S. deRuyter*  
Signature of Notary Public



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## ASSIGNMENT

Signed:  Date: 5/10/02  
Robert Cole

CERTIFICATE OF ACKNOWLEDGMENT

State of California

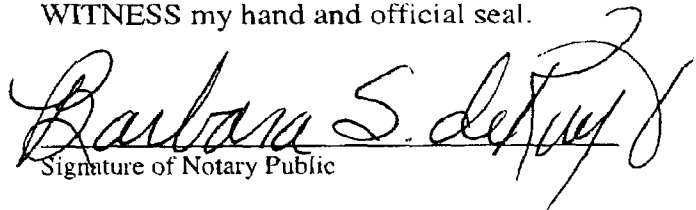
County of Santa Clara

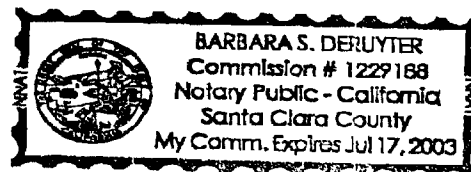
On May 10, 2002 before me, Barbara S. deRuyter, Notary Public,

personally appeared Robert Cole.  
Name(s) of Signer(s)

X personally known to me - OR - \_\_ proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

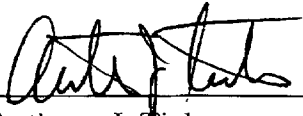
  
Signature of Notary Public



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## ASSIGNMENT

Signed:   
Anthony J. Ticknor

Date: 09-May-02

CERTIFICATE OF ACKNOWLEDGMENT

State of California

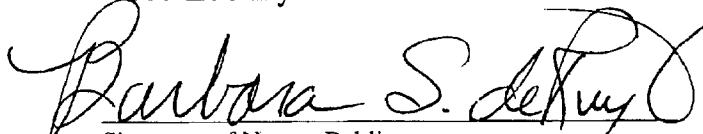
County of Santa Clara

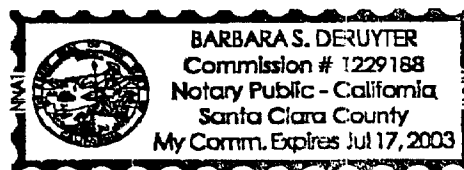
On May 9, 2002 before me, Barbara S. deRuyter, Notary Public,

personally appeared Anthony J. Ticknor.  
Name(s) of Signer(s)

X personally known to me - OR - \_\_proved  
to me on the basis of satisfactory evidence to  
be the person whose name is subscribed to the  
within instrument and acknowledged to me  
that he executed the same in his authorized  
capacity, and that by his signature on the  
instrument the person, or the entity upon  
behalf of which the person acted, executed the  
instrument.

WITNESS my hand and official seal.

  
Signature of Notary Public



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## ASSIGNMENT

Signed: Kenneth McGreer Date: May 10, 2002  
Kenneth McGreer

CERTIFICATE OF ACKNOWLEDGMENT

State of California

County of Santa Clara

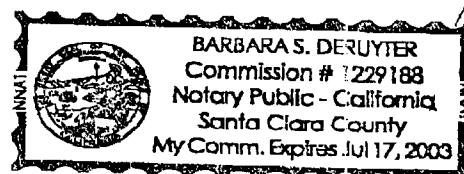
On May 10, 2002 before me, Barbara S. deRuyter, Notary Public,

personally appeared Kenneth McGreer.  
Name(s) of Signer(s)

X personally known to me - OR - \_\_proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Barbara S deRuyter  
Signature of Notary Public



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## ASSIGNMENT

Signed: Peter D. Ascanio Date: 5/14/02  
Peter D. Ascanio

CERTIFICATE OF ACKNOWLEDGMENT

State of California

County of Santa Clara

On May 14, 2002 before me, Barbara S. deRuyter, Notary Public,

personally appeared Peter D. Ascanio  
Name(s) of Signer(s)

X personally known to me - OR - \_\_proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

Barbara S. deRuyter  
Signature of Notary Public

