

06-25-2002

RECORDATION FORM COVER SHEET
PATENTS ONLY
CORRECTED

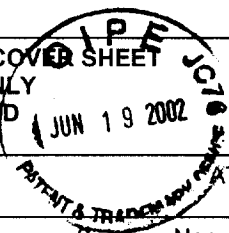
U.S. Department of Commerce
Patent and Trademark Office
Attorney Docket No. 07033.0019
Attorney Customer Number: 22,852



102133953

of Patents and Trademarks:

Please record the attached original documents or copy thereof.



ATTN. BOX ASSIGNMENTS

1. Name of conveying party(ies):
Renyuan GAO

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

Name: Photon-X, Inc.

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: Correction of Application Number

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

Execution Date: February 19, 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):

B. Patent Number(s):

09/993,774

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: 1

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
Reg. No. 47,623

Signature

June 19, 2002
Date

Total number of pages including cover sheet, attachments and documents: 8

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PATENT
REEL: 013010 FRAME: 0717

03-19-2002



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U.S. Department of Commerce
Patent and Trademark Office
Attorney Docket No. 07033.0019
Attorney Customer Number: 22,852

ATTN. BOX ASSIGNMENTS

To the Honorable Commissioner of
Please record the attached original

1. Name of conveying party(ies):
Renyuan GAO

3-11-02

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

Name: Photon-X, Inc.

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

Internal Address:

3. Nature of conveyance:

☒ Assignment ☐ Merger

Street Address: 291 Great Valley Parkway

City: Malvern

☐ Security Agreement ☐ Change of Name

State: PA Zip Code: 19355

☐ Other:

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

Execution Date: February 19, 2002

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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

Date

3/11/02

Total number of pages including cover sheet, attachments and documents: 2

ASSIGNMENT

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

COMPACT OPTICAL FIBER AMPLIFIER MODULE

for which I executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on November 27, 2001 (Serial No. 09/993,774); 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 Serial Nos. 60/253,224, filed November 27, 2000 and 60/253,225, filed November 27, 2000, (if any), 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;

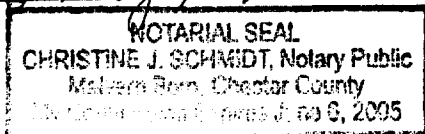
AND, I HEREBY covenant that I have the full right to convey the interest assigned by this Assignment, and I have not executed and will not execute any agreement in conflict with this Assignment;

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>Chesler</u>) | ss. | Name: <u>Renyan GAO</u> |
|) | | Address: <u>333 Lancaster Avenue #501</u> |
|) | | <u>Frazer, Pennsylvania</u> |
| State of <u>Pennsylvania</u>) | | By: <u>[Signature]</u> |
| | | Date: <u>2/19/02</u> |

Subscribed and sworn to before me this 19th day of February 2002
Christine J. Schmidt, Notary Public



385

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

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