

07-02-2002

Docket No.: 0953.093

FORM PTO-1595 (Modified)
(Rev. 03-01)
OMB No. 0651-0027 (exp. 5/31/2002)
PD8/REV03



ER SHEET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark

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

1. Name of conveying party(ies):

Kwok P. Chan
Robert Filkins
David G. Gascoyne
Richard A. Hogle
Robert C. Tatar

6-21-02

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

3. Nature of conveyance: DOCUMENT ID NO. 102060663

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

KC 10/11/01; RF 10/15/01;

Execution Date: DG 10/11/01; RH 10/17/01; RT10/11/01

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

Name: Molecular OptoElectronics Corporation

Internal Address: _____

Street Address: 877 25th StreetCity: WatervlietState: NYZIP: 12189Additional name(s) & address(es) attached? ☐ Yes ☒ No

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

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/812,097

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Martha L. Boden, Esq.

Internal Address: _____

Street Address: Heslin Rothenberg Farley & Mesiti P.C.5 Columbia CircleCity: AlbanyState: NYZIP: 12203

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41):.....\$ 0.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☒ Authorized to be charged to deposit account

8. Deposit account number:

08-1935

(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.

Martha L. Boden, Esq. Reg. No. 39,115

Name of Person Signing

Signature

June 21, 2002

Date

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

13

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments

PATENT
REEL: 013032 FRAME: 0203

Tab settings → → → ▼

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

1. Name of conveying party(ies):

Kwok P. Chan
Robert Filkins
David G. Gascoyne
Richard A. Hogle
Robert C. Tatar

4-1-02

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

3. Nature of conveyance: DOCUMENT ID NO. 101956022

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: Oct. 11, 2001; Oct. 15, 2001; Oct. 17, 2001

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

Name: **Molecular OptoElectronics Corporation**

Internal Address: _____

Street Address: **877 25th Street**City: **Watervliet** State: **NY** ZIP: **12189**Additional name(s) & address(es) attached? ☐ Yes ☒ No

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

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

09/812,097

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: **Martha L. Boden, Esq.**

Internal Address: _____

Street Address: **Heslin Rothenberg Farley & Mesiti P.C.****5 Columbia Circle**City: **Albany** State: **NY** ZIP: **12203**6. Total number of applications and patents involved: **1**7. Total fee (37 CFR 3.41):.....\$ **0.00**☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☒ Authorized to be charged to deposit account

8. Deposit account number:

08-1935

(Attach duplicate copy of this page if paying by deposit account)

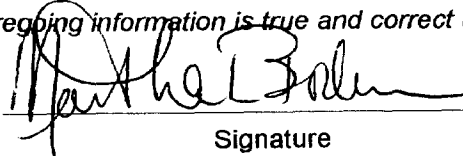
DO NOT USE THIS SPACE

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.

Martha L. Boden, Esq. Reg. No. 39,115

Name of Person Signing



Signature

April 1, 2002

Date

Total number of pages including cover sheet, attachments, and document: **13**

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11/14/02

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

1. Name of conveying party(ies):

Kwon P. Chan
Robert Filkins
David G. Gascoyne
Richard A. Hogel
Kevin J. Shughnessy

Robert C. Tatar

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

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

Name: **Molecular OptoElectronics Corporation**

Internal Address: _____

Street Address: **877 25th Street**

City: **Watervliet** State: **NY** ZIP: **12189**

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: **Oct. 11, 2001; Oct. 15, 2001; Oct. 17, 2001**

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

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

B. Patent No.(s)

09/812,097

Additional numbers attached? ☐ Yes ☒ No

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

Name: **Martha L. Boden, Esq.**

Internal Address: _____

01/23/2002 6TON11 00000205 09812097

01 FC:581 40.00 DP

Street Address: **Heslin Rothenberg Farley & Mesiti P.C.**

5 Columbia Circle

City: **Albany** State: **NY** ZIP: **12203**

6. Total number of applications and patents involved: **1**

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

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

08-1935

(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.

Martha L. Boden Reg. No. 39,115

Name of Person Signing

Signature

Nov. 8, 2001

Date

Total number of pages including cover sheet, attachments, and document: **13**

ASSIGNMENT

WHEREAS, We, **Kwok P. Chan, Robert Filkins, David G. Gascoyne, Richard A. Hogle, and Robert C. Tatar**, citizens of the United States of America and Hong Kong, residing at 34 Riding Club Road, Troy, New York 12180; 2114 Rankin Road, Niskayuna, New York 12309; 1487 Lexington Avenue, Schenectady, New York 12309; 206 Shirlwood Drive, Schenectady, New York 12306; and 567 Grand Avenue, Saratoga Springs, New York 12866, respectively, have invented certain new and useful improvements in **FIBER OPTIC POWER CONTROL SYSTEMS AND METHODS** which are the subject of United States Patent Application Serial No. 09/812,097, filed March 19, 2001; and

WHEREAS, **Molecular OptoElectronics Corporation** having offices at 877 25th Street, Watervliet, New York 12189-1903, is desirous of obtaining the entire right, title and interest in, to and under said improvements and said application;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, said **Kwok P. Chan, Robert Filkins, David G. Gascoyne, Richard A. Hogle, and Robert C. Tatar**, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, the entire right, title and interest in, to and under said improvements, and said application and all divisions, renewals and continuations thereof, and all Letters Patent which may be granted thereon and all reissues and extensions thereof, and all applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, any facts known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of October, 2001.

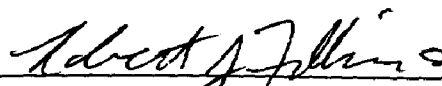
Kwok P. Chan

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Kwok P. Chan, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 15 day of
October, 2001.



Robert Filkins

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Robert Filkins, to me known
and known to me to be the person of that name, who signed and sealed the foregoing instrument,
and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this _____ day of
October, 2001.

David G. Gascoyne

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came David G. Gascoyne, to me
known and known to me to be the person of that name, who signed and sealed the foregoing
instrument, and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of
October, 2001.

Richard A. Hogle

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Richard A. Hogle, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of
October, 2001.

Robert C. Tatar

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Robert C. Tatar, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Notary Public

ASSIGNMENT

WHEREAS, We, **Kwok P. Chan, Robert Filkins, David G. Gascoyne, Richard A. Hogle, and Robert C. Tatar**, citizens of the United States of America and Hong Kong, residing at 34 Riding Club Road, Troy, New York 12180; 2114 Rankin Road, Niskayuna, New York 12309; 1487 Lexington Avenue, Schenectady, New York 12309; 206 Shirlwood Drive, Schenectady, New York 12306; and 567 Grand Avenue, Saratoga Springs, New York 12866, respectively, have invented certain new and useful improvements in **FIBER OPTIC POWER CONTROL SYSTEMS AND METHODS** which are the subject of United States Patent Application Serial No. 09/812,097, filed March 19, 2001; and

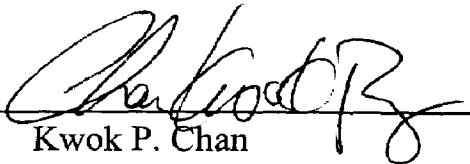
WHEREAS, **Molecular OptoElectronics Corporation** having offices at 877 25th Street, Watervliet, New York 12189-1903, is desirous of obtaining the entire right, title and interest in, to and under said improvements and said application;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, said **Kwok P. Chan, Robert Filkins, David G. Gascoyne, Richard A. Hogle, and Robert C. Tatar**, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, the entire right, title and interest in, to and under said improvements, and said application and all divisions, renewals and continuations thereof, and all Letters Patent which may be granted thereon and all reissues and extensions thereof, and all applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, any facts known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 11 day of October, 2001.


Kwok P. Chan

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Kwok P. Chan, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of
October, 2001.

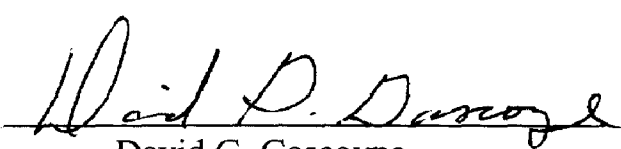
Robert Filkins

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Robert Filkins, to me known
and known to me to be the person of that name, who signed and sealed the foregoing instrument,
and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 11 day of
October, 2001.



David G. Gascoyne

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came David G. Gascoyne, to me
known and known to me to be the person of that name, who signed and sealed the foregoing
instrument, and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of
October, 2001.

Richard A. Hogle

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Richard A. Hogle, to me
known and known to me to be the person of that name, who signed and sealed the foregoing
instrument, and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 11 day of
October, 2001.

Robert C. Tatar
Robert C. Tatar

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Robert C. Tatar, to me known
and known to me to be the person of that name, who signed and sealed the foregoing instrument,
and he acknowledged the same to be his free act and deed.

Notary Public

ASSIGNMENT

WHEREAS, We, **Kwok P. Chan, Robert Filkins, David G. Gascoyne, Richard A. Hogle, and Robert C. Tatar**, citizens of the United States of America and Hong Kong, residing at 34 Riding Club Road, Troy, New York 12180; 2114 Rankin Road, Niskayuna, New York 12309; 1487 Lexington Avenue, Schenectady, New York 12309; 206 Shirlwood Drive, Schenectady, New York 12306; and 567 Grand Avenue, Saratoga Springs, New York 12866, respectively, have invented certain new and useful improvements in **FIBER OPTIC POWER CONTROL SYSTEMS AND METHODS** which are the subject of United States Patent Application Serial No. 09/812,097, filed March 19, 2001; and

WHEREAS, **Molecular OptoElectronics Corporation** having offices at 877 25th Street, Watervliet, New York 12189-1903, is desirous of obtaining the entire right, title and interest in, to and under said improvements and said application;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) to us in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, we, said **Kwok P. Chan, Robert Filkins, David G. Gascoyne, Richard A. Hogle, and Robert C. Tatar**, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, the entire right, title and interest in, to and under said improvements, and said application and all divisions, renewals and continuations thereof, and all Letters Patent which may be granted thereon and all reissues and extensions thereof, and all applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant that we have full right to convey the entire interest herein assigned, and that we have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that we will communicate to said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, any facts known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid said **Molecular OptoElectronics Corporation**, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of October, 2001.

Kwok P. Chan

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Kwok P. Chan, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of
October, 2001.

Robert Filkins

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came Robert Filkins, to me known
and known to me to be the person of that name, who signed and sealed the foregoing instrument,
and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of
October, 2001.

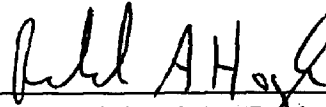
David G. Gascoyne

STATE OF NEW YORK)
) ss.:
COUNTY OF _____)

On this ____ day of June, 2001, before me personally came David G. Gascoyne, to me
known and known to me to be the person of that name, who signed and sealed the foregoing
instrument, and he acknowledged the same to be his free act and deed.

Notary Public

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 17th day of
October, 2001.

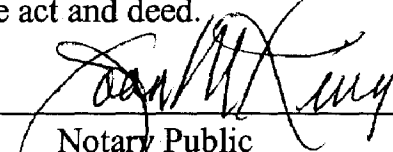


Richard A. Hogle

STATE OF NEW YORK)

COUNTY OF Schenectady) ss.:

On this 17 day of October, 2001, before me personally came Richard A. Hogle, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.



Notary Public

JOAN M. KING
Notary Public in the State of New York
Qualified in Schenectady County
My Commission Expires May 31, 2002

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ____ day of
October, 2001.

Robert C. Tatar

STATE OF NEW YORK)

COUNTY OF _____) ss.:

On this ____ day of June, 2001, before me personally came Robert C. Tatar, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Notary Public