

07-31-2002



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- ☐ Departmental File ☐ Secret File

Conveying Party(ies)

- ☐ Mark if additional names of conveying parties attached

Name Physical Sciences, Inc.Execution Date
Month Day Year

06/26/2002

Name

/ /

Name

/ /

Name

/ /

Name

/ /

Receiving Party

- ☐ Mark if additional names of receiving parties attached

Name (line 1) Confluent Photonics CorporationName (line 2) Address (line 1) 20 New England Business CenterAddress (line 2) Address (line 3) Andover

City

MA

State/Country

01810-7100

Zip Code

- ☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name Address (line 1) Address (line 2) Address (line 3) Address (line 4)

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PATENT
REEL: 013125 FRAME: 0149

Correspondent Name and Address

Area Code and Telephone Number (617) 248-7000

Name Patent Administrator

Address (line 1) Testa, Hurwitz & Thibault, LLP

Address (line 2) High Street Tower

Address (line 3) 125 High Street

Address (line 4) Boston, MA 02110

Pages Enter the total number of pages of the attached conveyance document including any attachments.

9

Application Number(s) or Patent Number(s)

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

☐ Mark if additional numbers attached

Patent Application Number(s)

09/633,934

60/200,189

60/225,052

Patent Number(s)

Patent Cooperation Treaty (PCT)

Enter PCT application number
only if a U.S. Application Number
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved.

3

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41):

\$ 120.00

Method of Payment:

Enclosed ☒Deposit Account ☐

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account)

Deposit Account Number

20-0531

Authorization to charge additional fees:

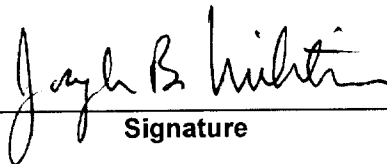
Yes ☒No ☐

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. Charges to deposit account are authorized, as indicated herein.

Joseph B. Milstein

Name of Person Signing



Signature

June 28, 2002

Date

2432303

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Box Assignment, Director of Patent and Trademarks, Washington, D.C. 20231

PATENT
REEL: 013125 FRAME: 0150

ASSIGNMENT

WHEREAS, Physical Sciences, Inc., a Massachusetts corporation having a principal business address at 20 New England Business Center, Andover, MA 01810-7100 ("ASSIGNOR"), is the owner of an interest in and to

Utility Patent application Serial No. **09/633,934**, filed in the United States Patent and Trademark Office on **August 8, 2000**;

Provisional Patent application Serial No. **60/200,189**, filed in the United States Patent and Trademark Office on **April 28, 2000**;

Provisional Patent application Serial No. **60/225,052**, filed in the United States Patent and Trademark Office on **August 16, 2000**; collectively "the patent applications," and

WHEREAS, Confluent Photonics Corporation, a Delaware corporation having a principal place of business at 20 New England Business Center, Andover, Massachusetts 01810-7100 ("ASSIGNEE"), desires to acquire and has acquired by virtue of an exchange of Confluent Photonics common stock on 30 November 2000 the entire right, title and interest in and to the patent applications;

NOW, THEREFORE, for valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR sells, assigns, and transfers to said ASSIGNEE, its successors and assigns, to the extent not previously sold, assigned, and transferred by one or more of the earlier executed assignments attached hereto and listed as Exhibits in appended Schedule A, its entire right, title and interest in and to all letters patent of the United States and all foreign countries which have been or shall be granted on the patent applications, or on any divisionals, continuations, continuations-in-part, reissues, extensions or other applications based in whole thereon; the same to be held and enjoyed by ASSIGNEE for its own use and enjoyment, and for the use and enjoyment of its successors, assigns or other legal representatives, to the end of the term or terms for which said patents are or may be granted or reissued, as fully and entirely as the same would have been held and enjoyed by ASSIGNOR, if this assignment and sale had not been made; together with all claims for damages by reason of past infringement of said patents, with the right to sue for such damages, and collect the same for its own use and enjoyment, and for the use and enjoyment of its successors, assigns or other legal representatives;

AND, ASSIGNOR agrees for itself and its successors and assigns, with said ASSIGNEE and its successors and assigns, but at the expense and charge of said ASSIGNEE, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the transfer to the said ASSIGNEE and its successors and assigns of Letters Patent in the United States and all other countries, with specifications and claims to vest and confirm in said ASSIGNEE and its successors and assigns, the legal title to all such

patents and to otherwise give full effect to and perfect the rights of said ASSIGNEE under this assignment;

AND, ASSIGNOR does hereby authorize and request competent authorities to issue said Letters Patent as shall be granted upon said applications to said ASSIGNEE and its successors and assigns. ASSIGNOR hereby covenants that it has full right to convey the entire interest herein assigned, and that it has not executed, and will not execute, any agreements inconsistent herewith.

IN WITNESS WHEREOF, the ASSIGNOR has caused this instrument to be executed by its duly authorized officer this 26th day of June, 2002.

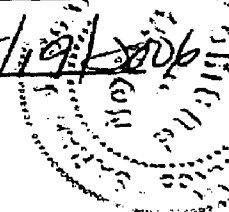
Physical Sciences Inc.

By: George E. Caledonia
 Printed Name: George E. Caledonia
 Title: President

Commonwealth of Massachusetts)
 County of Essex) ss

Subscribed and sworn before me, by the above-named GEORGE E. CALEDONIA this 26th day of JUNE, 2002.

Sarah J. Caramazza
 Notary Public
 My Commission Expires: 5/19/2006



2433251

Schedule A

- Exhibit 1. Assignment of Invention for Utility Patent application Serial No. **09/633,934**, filed in the United States Patent and Trademark Office on **August 8, 2000**, signed by Robert F. Weiss, Chairman of Physical Sciences, Inc. on November 30, 2000.
- Exhibit 2. Assignment of Application for Utility Patent application Serial No. **09/633,934**, filed in the United States Patent and Trademark Office on **August 8, 2000**, signed by Robert F. Weiss, Chairman of Physical Sciences, Inc. on January, 5, 2001.
- Exhibit 3. Assignment of Invention for Provisional Patent application Serial No. **60/200,189**, filed in the United States Patent and Trademark Office on **April 28, 2000**, signed by Robert F. Weiss, Chairman of Physical Sciences, Inc. on November 30, 2000.
- Exhibit 4. Assignment of Application for Provisional Patent application Serial No. **60/200,189**, filed in the United States Patent and Trademark Office on **April 28, 2000**, signed by Robert F. Weiss, Chairman of Physical Sciences, Inc. on January 5, 2001.
- Exhibit 5. Assignment of Invention for Provisional Patent application Serial No. **60/225,052**, filed in the United States Patent and Trademark Office on **August 16, 2000**, signed by Robert F. Weiss, Chairman of Physical Sciences, Inc. on November 30, 2000.
- Exhibit 6. Assignment of Application for Provisional Patent application Serial No. **60/225,052**, filed in the United States Patent and Trademark Office on **August 16, 2000**, signed by Robert F. Weiss, Chairman of Physical Sciences, Inc. on January 5, 2001.

ASSIGNMENT OF INVENTION

WHEREAS, Physical Sciences Inc. a corporation organized and existing under the laws of the Commonwealth of Massachusetts, and having a principal place of business at 20 New England Business Center, Andover, Massachusetts, 01840 ("ASSIGNOR") owning rights to application for Letters Patent filed August 8, 2000 and having Patent application Serial No. 09/633,934 desires to assign and transfer all of its entire right, title, and interest in and to said invention and in and to any Letters Patent that may be granted thereof in the United States and its territorial possessions;

TO, CONFLUENT PHOTONICS CORPORATION (f/k/a Memscor, Inc.) ("ASSIGNEE") a Delaware corporation having a principal place of business at 20 New England Business Center, Andover, Massachusetts, 018410;


NOW, THEREFORE, for valuable consideration, the receipt whereof is hereby acknowledged, ASSIGNOR, by these presents does assign and transfer unto said ASSIGNEE, all of ASSIGNOR's rights to said invention in the United States of America and any and all countries foreign to the United States of America, and ASSIGNOR's entire right, title and interest in and to any and all Letters Patent which may be granted thereof in the United States of America and any and all countries foreign to the United States of America, and in and to any and all divisions, reissues, continuations, substitutions, and renewals thereof.

ASSIGNOR hereby authorizes and requests the Patent Office in the United States of America and any and all countries foreign to the United States of America to issue any and all of said Letters Patent, when granted, to said ASSIGNEE as the assignee of our entire right, title and interest in and to the same, for the use and behalf of said ASSIGNEE, its successors and assigns, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held by us had this assignment and sale not been made.

Further, ASSIGNOR agrees that ASSIGNOR will communicate to said ASSIGNEE or its representatives any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, substitute, renewal, and reissue applications, execute all necessary assignment papers to cause any and all of said Letter Patent to be issued to said ASSIGNEE, make all rightful oaths, and, generally do everything possible to aid said ASSIGNEE, its successors and assigns, to obtain and enforce proper protection for said invention in any and all countries foreign to the United States of America.

The undersigned hereby grants authorized representatives of the above identified ASSIGNEE the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

PHYSICAL SCIENCES INC.

By: 
Name: Robert F. Weiss
Title: Chairman

Date: November 30, 2000



ASSIGNMENT OF APPLICATION

Docket Number (Optional)

Whereas, I, Robert F. Weiss, Chairman of Physical Sciences Inc., hereafter referred to as applicant, have invented certain new and useful improvements in DWDM optical component using unique filtering processes in miniature

☒ for which an application for a United States Patent was filed on August 8, 2000
Application Number 09 / 633,934

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Confluent Photonics Corporation of Delaware herein referred to "assignee" whose mailing address is 20 New England Business Ctr., Andover, MA is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of one dollars (\$ 1.00), the receipt whereof is acknowledged, and other good and valuable consideration, I, the applicant, by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I hereby authorize and request the Commissioner of Patents and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 5th day of January, 2001
at ANDOVER, MA

State of MASS SS:

County of Essex

Before me personally appeared said ROBERT F. WEISS
and acknowledged the foregoing instrument to be his free act and deed this 5th
day of JANUARY 2001.

Robert F. Weiss
(Signature)

Diana P. Carameo
(Notary Public)

Seal

One Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

ASSIGNMENT OF INVENTION

WHEREAS, Physical Sciences Inc. a corporation organized and existing under the laws of the Commonwealth of Massachusetts, and having a principal place of business at 20 New England Business Center, Andover, Massachusetts, 01840 ("ASSIGNOR") owning rights to application for Letters Patent filed April 28, 2000 and having Patent application Serial No. 60/200,189 desires to assign and transfer all of its entire right, title, and interest in and to said invention and in and to any Letters Patent that may be granted thereof in the United States and its territorial possessions;

TO, CONFLUENT PHOTONICS CORPORATION (f/k/a Memscor, Inc.) ("ASSIGNEE") a Delaware corporation having a principal place of business at 20 New England Business Center, Andover, Massachusetts, 018410;

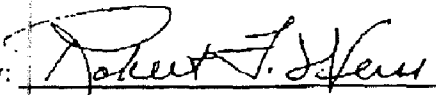
NOW, THEREFORE, for valuable consideration, the receipt whereof is hereby acknowledged, ASSIGNOR, by these presents does assign and transfer unto said ASSIGNEE, all of ASSIGNOR's rights to said invention in the United States of America and any and all countries foreign to the United States of America, and ASSIGNOR's entire right, title and interest in and to any and all Letters Patent which may be granted thereof in the United States of America and any and all countries foreign to the United States of America, and in and to any and all divisions, reissues, continuations, substitutions, and renewals thereof.

ASSIGNOR hereby authorizes and requests the Patent Office in the United States of America and any and all countries foreign to the United States of America to issue any and all of said Letters Patent, when granted, to said ASSIGNEE as the assignee of our entire right, title and interest in and to the same, for the use and behalf of said ASSIGNEE, its successors and assigns, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held by us had this assignment and sale not been made.

Further, ASSIGNOR agrees that ASSIGNOR will communicate to said ASSIGNEE or its representatives any facts known to us respecting said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, substitute, renewal, and reissue applications, execute all necessary assignment papers to cause any and all of said Letter Patent to be issued to said ASSIGNEE, make all rightful oaths, and, generally do everything possible to aid said ASSIGNEE, its successors and assigns, to obtain and enforce proper protection for said invention in any and all countries foreign to the United States of America.

The undersigned hereby grants authorized representatives of the above identified ASSIGNEE the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

PHYSICAL SCIENCES INC.

By: 
Name: Robert F. Weiss
Title: Chairman

Date: November 30, 2000

ASSIGNMENT OF APPLICATION

Docket Number (Optional)

Whereas, I, Robert F. Weiss, Chairman of Physical Sciences Inc., hereafter referred to as applicant, have invented certain new and useful improvements in DWDM optical component; using unique filtering processes in miniature

☒ for which an application for a United States Patent was filed on April 28, 2000,
Application Number 60/200,189

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Confluent Photonics Corporation of Delaware herein referred to "assignee" whose mailing address is 20 New England Business Ctr., Andover, MA is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of one dollars (\$ 1.00), the receipt whereof is acknowledged, and other good and valuable consideration, I, the applicant, by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States. I hereby authorize and request the Commissioner of Patents and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 5th day of January, 2001,
at ANDOVER, MA

State of MASS SS:

County of ESSEX

Before me personally appeared said ROBERT F. WEISS
and acknowledged the foregoing instrument to be his free act and deed this 5th
day of JANUARY 2001.

Robert F. Weiss
(Signature)

Sarah J. Carrasch
(Notary Public)

Seal

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

ASSIGNMENT OF INVENTION

WHEREAS, Physical Sciences Inc. a corporation organized and existing under the laws of the Commonwealth of Massachusetts, and having a principal place of business at 20 New England Business Center, Andover, Massachusetts, 01840 ("ASSIGNOR") owning rights to application for Letters Patent filed August 16, 2000 and having Provisional Patent application Serial No. 60/226,052 desires to assign and transfer all of its entire right, title, and interest in and to said invention and in and to any Letters Patent that may be granted thereof in the United States and its territorial possessions;

TO, CONFLUENT PHOTONICS CORPORATION (f/k/a Memscor, Inc.) ("ASSIGNEE") a Delaware corporation having a principal place of business at 20 New England Business Center, Andover, Massachusetts, 01840;

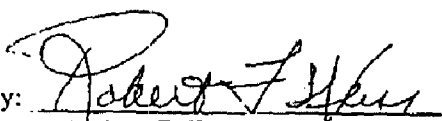
NOW, THEREFORE, for valuable consideration, the receipt whereof is hereby acknowledged, ASSIGNOR, by these presents does assign and transfer unto said ASSIGNEE, all of ASSIGNOR's rights to said invention in the United States of America and any and all countries foreign to the United States of America, and ASSIGNOR's entire right, title and interest in and to any and all Letters Patent which may be granted thereof in the United States of America and any and all countries foreign to the United States of America, and in and to any and all divisions, reissues, continuations, substitutions, and renewals thereof.

ASSIGNOR hereby authorizes and requests the Patent Office in the United States of America and any and all countries foreign to the United States of America to issue any and all of said Letters Patent, when granted, to said ASSIGNEE as the assignee of our entire right, title and interest in and to the same, for the use and behalf of said ASSIGNEE, its successors and assigns, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held by us had this assignment and sale not been made.

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PHYSICAL SCIENCES INC.

By: 
Name: Robert F. Weiss
Title: Chairman

Date: November 30, 2000

ASSIGNMENT OF APPLICATION

Docket Number (Optional)

Whereas, I, Robert F. Weiss, Chairman of Physical Sciences Inc., hereafter referred to as applicant, have invented certain new and useful improvements in DWDM optical components using unique filtering processes in miniature

☒ for which an application for a United States Patent was filed on August 16, 2000,
Application Number 60/226,052

☐ for which an application for a United States Patent was executed on _____, and

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at ANDOVER, MA

Robert F. Weiss
(Signature)

State of MASSACHUSETTS SS:
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