

08-13-2002

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Form **PTO-1595** **RECORDATION FORM COVER SHEET** U.S. DEPARTMENT OF COMMERCE  
 (Rev. 03/01) **PATENTS ONLY** U.S. Patent and Trademark Office  
 OMB No. 0651-0027 (exp. 5/31/2002)

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

<p>1. Name of conveying party(ies):          Qian Yu (July 9, 2002), Lianshan Yan (July 3, 2002),          and Alan E. Willner (July 3, 2002)</p> <p>Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	<p>2. Name and address of receiving party(ies)          Name: <u>University of Southern California (LA)</u>          Internal Address: _____          Street Address: <u>3716 S. Hope Street, Suite 313</u>          City: <u>Los Angeles</u>          State: <u>CA</u> Zip: <u>90007-4344</u>          Additional name(s) &amp; address(es) attached: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>
<p>3. Nature of Conveyance:  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger  <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other _____          Execution Date: <u>see Box 1, conveying parties</u></p>	

4. Application number(s) or patent number(s):  
 If this document is being filed together with a new application, the execution date of the new application is: \_\_\_\_\_

<p>A. Patent Application No.(s):  <u>10/099,875</u></p>	<p>B. Patent No.(s):          _____</p>
<p>Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>	

<p>5. Name and address of party to whom correspondence concerning document should be mailed:          Name: <u>William B. Tiffany</u>  <u>FULBRIGHT &amp; JAWORSKI L.L.P.</u>          Internal Address: <u>Atty. Dkt.: 51519/P001US/10203244</u>          Street Address: <u>2200 Ross Avenue</u>  <u>Suite 2800</u>          City: <u>Dallas</u> State: <u>TX</u> Zip: <u>75201</u></p>	<p>6. Total number of applications and patents involved: <u>1</u></p> <p>7. Total fee (37 CFR 3.41) \$ <u>40.00</u>  <input checked="" type="checkbox"/> Enclosed  <input type="checkbox"/> Authorized to be charged to deposit account  <input type="checkbox"/> Authorized to be charged to credit card          (Form 2038 enclosed)</p> <p>8. Deposit account number:  <u>06-2380</u>          (Attach duplicate copy of this page if paying by deposit account)</p>
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**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.*

William B. Tiffany, Reg. No. 41,347 William B. Tiffany August 2, 2002  
 Name of Person Signing Signature Date

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

**Recordation Form Cover Sheet**  
 I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.  
 Dated: August 2, 2002 Signature: Joy H. Perigo (Joy H. Perigo)

08/13/2002 AANMED: 00000012 10099875  
01 FC:581 25189832.1 40.00 DP

**ASSIGNMENT BY INVENTORS**

**THIS ASSIGNMENT**, made by Qian Yu; Lianshan Yan; and Alan E. Willner (hereinafter referred to as Assignors), residing at 20990 Valley Green Dr., Apt. 629, Cupertino, California 95014; 1144 W. 28th St., Apt. 4, Los Angeles, California 90007; and 9326 Sawyer Street, Los Angeles, California 90035, respectively;

**WHEREAS**, Assignors have invented certain new and useful improvements in MONITORING AND IN-LINE COMPENSATION OF POLARIZATION DEPENDENT LOSS FOR LIGHTWAVE SYSTEMS, set forth in a Patent application for Letters Patent of the United States, already filed on March 15, 2002 as U.S. application No. 10/099,875; and

**WHEREAS**, University of Southern California (LA), an educational institution organized under and pursuant to the laws of the State of California having its principal place of business at 3716 South Hope Street, Suite 313, Los Angeles, CA 90007, (hereinafter referred to as Assignee), is desirous of acquiring the entire right, title and interest in and to said inventions and said Application for Letters Patent of the United States, and in and to any Letters Patent of the United States to be obtained therefore and thereon.

**NOW, THEREFORE**, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, Assignors have sold, assigned, transferred and set over, and by these presents do sell, assign, transfer and set over, unto Assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to the above-mentioned inventions and application for Letters Patent, and in and to any and all direct and indirect divisions, continuations and continuations-in-part of said application, and any and all Letters Patent in the United States and all foreign countries which may be granted therefore and thereon, and reissues, reexaminations and extensions of said Letters Patent, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by Assignee, for its own use and benefit and the use and benefit of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent may be granted and/or extended, as fully and entirely as the

same would have been held and enjoyed by Assignors, had this sale and assignment not been made.

**AND** for the same consideration, Assignors hereby represent and warrant to Assignee, its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, except for any rights, titles and/or interests that have arisen to Assignee under law or that have already been transferred to Assignee, Assignors are the sole and lawful owners of the entire right, title and interest in and to the said inventions and application for Letters Patent above-mentioned, and that the same are unencumbered and that Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

**AND** for the same consideration, Assignors hereby covenant and agree to and with Assignee, its successors, legal representatives and assigns, that Assignors will sign all papers and documents, take all lawful oaths and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of any Letters Patent and applications for Letters Patent for said inventions, without charge to Assignee, its successors, legal representatives and assigns, whenever counsel of Assignee, or counsel of its successors, legal representatives and assigns, shall advise: that any proceeding in connection with said inventions, or said Patent application for Letters Patent, or any proceeding in connection with any Letters Patent or applications for Letters Patent for said inventions in any country, including but not limited to interference proceedings, is lawful and desirable; or, that any division, continuation or continuation-in-part of any application for Letters Patent, or any reissue, reexamination or extension of any Letters Patent, to be obtained thereon, is lawful and desirable.

**AND** Assignors hereby request the Commissioner of Patent and Trademarks to issue said Letters Patent of the United States to Assignee, as Assignee of said inventions and the Letters Patent to be issued thereon, for the sole use and benefit of Assignee, its successors, legal representatives and assigns.

**AND** Assignors hereby grant the following individuals 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:

FULBRIGHT & JAWORSKI L.L.P.

David H. Tannenbaum	24,745	Matthew D. Jones	44,810	Michael A. Papalas	40,381
Jody C. Bishop	44,034	Jerry L. Mahurin	34,661	William B. Tiffany	41,347
Michael J. Fogarty, III	42,541	Thomas J. Meaney	41,990	R. Ross Viguet	42,203

AND Assignors acknowledge an obligation of assignment of this invention to Assignee at the time the invention was made.

  
 \_\_\_\_\_  
 Qian Yu

State of California )  
 ) ss.  
 County of Santa Clara )

On July 08<sup>WHT</sup>, 2002, before me,  
 appeared Qian Yu

WENDY AHEARN, NOTARY PUBLIC

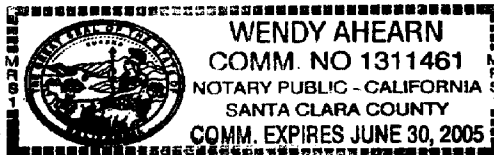
, personally


personally known to me  proved

to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are  
 subscribed to the within instrument and acknowledged to me that he/she/they executed the  
 same in his/her/their authorized capacity(ies), and that by his/her/their signature on the  
 instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the  
 instrument.

WITNESS my hand and official seal.

  
 \_\_\_\_\_

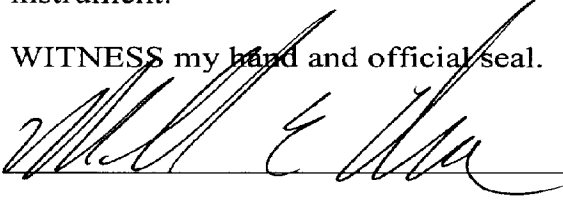


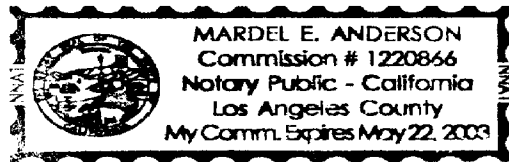
  
Lianshan Yan

State of California )  
 ) ss.  
County of Los Angeles )

On July 3, 2002, before me, Mardel E Anderson, personally appeared Lianshan Yan  personally known to me  proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.





  
Alan E. Willner

State of California )  
 ) ss.  
County of Los Angeles )

On July 3, 2003, before me, Mardel E Anderson, personally appeared Alan E. Willner  personally known to me  proved to me on the basis of satisfactory evidence, to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

WITNESS my hand and official seal.

