

RECORDATION FORM COVER SHEET
PATENTS ONLY

09-05-2002

Attorney Docket: 2517P
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102212171

To the Assistant Commissioner of Patents: Please

submit or copy thereof.

1. Name of conveying party(ies):

(1) Song PENG
(2) Ming LI

8-22-02

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

Name: **Avanex Corporation**
Street Address: **40919 Encyclopedia Circle**
City: **Fremont** State: **CA** ZIP: **94538**

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

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

3. Nature of conveyance:

☒ Assignment

Execution Dates: (1) **August 21, 2002**
(2) **Same**

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

10225936

If this document is being filed together with a new application, the execution date of the application
is: **August 21, 2002 and Same.**

A. Patent Application No.(s):

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

Additional numbers attached? ☐ Yes ☒ No

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

Name: **Michele Liu**

Address: **Sawyer Law Group LLP**
Street

Address: **P.O. Box 51418**
Palo Alto, California 94303

6. Total Number of applications and patents
involved: **One**

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

☐ Enclosed

☒ Authorized to be charged to
deposit account

8. Deposit Account No: **02-2120** (Sawyer Law Group LLP)
(Attach copy of this page)

09/05/2002 TDIAZ1 00000017 022120 10225936

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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.

August 22, 2002

Date

Michele Liu, Reg. No, 44,875

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

PATENT
REEL: 013242 FRAME: 0742

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, I/we, the undersigned, **Song PENG and Ming LI**, do hereby sell, assign, and transfer unto **AVANEX Corporation**, having a principal place of business at 40919 Encyclopedia Circle, Fremont, California 94538 ("Assignee"), its successors, assigns, and legal representatives, the entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in the application for United States Letters Patent,

[X] which has been executed by the undersigned concurrently herewith,

[] which was filed on *and assigned serial no. *,

and is entitled:


EQUALIZING OPTICAL WAVELENGTH ROUTERS

and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application; and

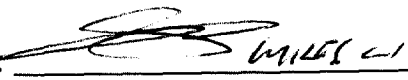
Agree that said Assignee may apply for and receive Letters Patent for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns, and representatives, all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Signed:

Name: 
Song PENG

Date: 8/21/2002

Name:  MING LI
Ming LI

Date: 8/21/2002