

09-16-2002

Substitute Form PTO-1595
Attorney Docket No.: 13837-029001wed
9-11-02

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Commissioner for Patents: Please record the attached original document(s) or copy(ies).

1. Name of conveying party(ies):

Ping Xie, R. Brad Bettman, Haisheng Rong,
Kevin Zhang, Yalan Mao, Wei Wang and Simon
Yuanxiang WuAdditional name(s) attached? ☐ Yes ☒ No

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

Finisar Corporation
1308 Moffett Park Drive
Sunnyvale, CA 94089-1133

3. Nature of conveyance:

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

Execution Date: 07/23/2002; 08/10/2002;
08/01/2002; 07/23/2002; 08/21/2002;
08/08/2002; 08/18/2002Additional names/addresses attached? ☐ Yes ☒ No

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

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

A. Patent Application No(s):

10/170,055

B: Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

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

RICHARD P. FERRARA
Fish & Richardson P.C.
45 Rockefeller Plaza, Suite 2800
New York, New York 10111

6. Total number of applications/patents involved: 1

7. Total fee (37 CFR §3.41): \$40

- ☒
- Enclosed
-
- ☐
- Authorized to charge Deposit Account.

8. Deposit Account No.: 06-1050

Please apply any additional charges, or any credits, to our
Deposit Account No. 06-1050.

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.*Paul A. Levy
Reg. No. 45,748
Name of Person Signing

Signature

Date

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Total number of pages including coversheet, attachments and document: 9

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CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner of Patents, Washington, D.C. 20231.

September 5, 2002
Date of Deposit

Signature

Gina Maldonado
Typed Name of Person Signing CertificatePATENT
REEL: 013277 FRAME: 0036

ASSIGNMENT

For valuable consideration, we, PING XIE of 10118 Crescent Court, Cupertino, CA 95014, R. BRAD BETTMAN of 415 Bush Street, Mountain View, CA 94041, HAISHENG RONG of 4261 Norwalk Drive, #Y104, San Jose, CA 95129, KEVIN ZHANG of 3560 Flora Vista Avenue, Apt. 318, Santa Clara, CA 95014, YALAN MAO of 11620 Wildflower Court, Cupertino, CA 95014, WEI WANG of 1265 North Capitol Avenue, Apt. 213, San Jose, CA 95132, SIMON YUANXIANG WU of 2615 Heritage Park Circle, San Jose, CA 95132, hereby assign to:

FINISAR CORPORATION, a Delaware corporation having a place of business at:

1308 Moffett Park Drive
Sunnyvale, CA 94089-1133; and

its successors and assigns (collectively hereinafter called "the Assignee"), the entire right, title and interest throughout the world in the inventions and improvements which are subject of an application for United States Patent signed by us, entitled METHOD AND APPARATUS FOR AN OPTICAL MULTIPLEXER AND DEMULTIPLEXER WITH AN OPTICAL PROCESSING LOOP, filed June 12, 2002, and assigned U.S. Serial Number 10/170,055, this assignment including said application, any and all United States and foreign patents, utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes; and we authorize the Assignee to apply in all countries in our name or in its own name for patents, utility models, design registrations and like rights of exclusion and for inventors' certificates for said inventions and improvements; and we agree for ourselves and our respective heirs, legal representatives and assigns, without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to effectuate fully this assignment.

IN WITNESS WHEREOF, I hereto set my hand and seal at Hayward, CA,
this 23rd day of July, 2002
Ping Xie L.S.
PING XIE

State of _____ :
: ss.
County of _____ :

Before me this _____ day of _____, 20_____, personally
appeared PING XIE known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

Notary Public

My Commission Expires:

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this 10th day of August, 2002

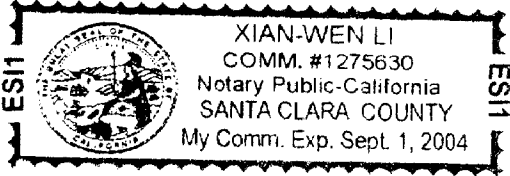
R. BRAD BETTMAN L.S.

State of California :

: SS.

County of Santa Clara :

Before me this 10 day of Aug, 2002, personally
appeared R. BRAD BETTMAN known to me to be the person whose name is subscribed to the
foregoing Assignment and acknowledged that he executed the same as his free act and deed for
the purposes therein contained.



[Notary's Seal Here]

Xian-Wen Li

Notary Public

My Commission Expires: Sept. 1, 2004

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this 1 day of AUGUST, 2002
Haisheng Rong L.S.
HAISHENG RONG

JP 8/1/02

State of _____ :
: ss.
County of _____ :

Before me this _____ day of _____, 20_____, personally
appeared HAISHENG RONG known to me to be the person whose name is subscribed to the
foregoing Assignment and acknowledged that he executed the same as his free act and deed for
the purposes therein contained.

Notary Public
My Commission Expires:

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at Hayward, CA,
this 23 day of July, 2002
Kevin Zhang L.S.
KEVIN ZHANG

State of CA :
: ss.
County of USA :

Before me this _____ day of _____, 20_____, personally
appeared KEVIN ZHANG known to me to be the person whose name is subscribed to the
foregoing Assignment and acknowledged that he executed the same as his free act and deed for
the purposes therein contained.

Notary Public

My Commission Expires:

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,

this 21 day of ~~2002~~ August, 2002

Yalan Mao

L.S.

YALAN MAO

State of _____ :

: ss.

County of _____ :


Before me this _____ day of _____, 20_____, personally appeared YALAN MAO known to me to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Notary Public

My Commission Expires:

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at _____,
this 8th day of August, 2002

WEI WANG  L.S.

State of _____ :
: ss.
County of _____ :

Before me this _____ day of _____, 20_____, personally
appeared WEI WANG known to me to be the person whose name is subscribed to the foregoing
Assignment and acknowledged that he executed the same as his free act and deed for the
purposes therein contained.

Notary Public

My Commission Expires:

[Notary's Seal Here]

IN WITNESS WHEREOF, I hereto set my hand and seal at San Jose, California,
this 18th day of August, 2002
Simon Yuanxiang Wu L.S.
SIMON YUANXIANG WU

State of _____ :
: ss.
County of _____ :

Before me this _____ day of _____, 20_____, personally
appeared SIMON YUANXIANG WU known to me to be the person whose name is subscribed
to the foregoing Assignment and acknowledged that he executed the same as his free act and
deed for the purposes therein contained.

Notary Public

My Commission Expires:

[Notary's Seal Here]

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