

11-12-2002

IT

U.S. Department of Commerce  
Patent and Trademark Office  
Attorney Docket No. 05788.0238  
Attorney Customer Number: 22,852

102277792

ATTN. BOX ASSIGNMENTS

To the Honorable Commissioner of  
Please record the attached original.

1. Name of conveying party(ies):  
1) Gilberto BRAMBILLA  
2) Valerio PRUNERI  
3) Laurence REEKIE

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

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

Internal Address:

3. Nature of conveyance:

Street Address: Centre for Enterprise & Innovation,  
Highfield, Southampton, Hampshire  
SO17 1BJ, United Kingdom☒ Assignment ☐ Merger

City:

☐ Security Agreement ☐ Change of Name

State:

Zip Code:

☐ Other:

Additional name(s) &amp; Address(es) attached?

Execution Date: 1) September 25, 2002  
2) September 23, 2002  
3) September 24, 2002☐ Yes ☒ No

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

A. Patent Application Number(s):

10/241,615

B. Patent Number(s):

Additional numbers attached?

☐ Yes ☒ No

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

Name: Mr. Ernest F. Chapman

6. Total number of applications and registrations involved:  
1

7. Total fee (37 CFR 3.41): \$40

☒ Enclosed (Please charge deficiency to deposit account)☐ Authorized to be charged to deposit accountInternal Address: FINNEGAN, HENDERSON, FARABOW, GARRETT  
& DUNNER, L.L.P.

Street Address: 1300 I Street, N.W.

City: Washington, D.C.

State: Zip: 20005-3315

8. Deposit Account No.: 06-0916

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.

Ernest F. Chapman  
Reg. No. 25,961  
Signature

NOV 04 2002

Date

Total number of pages including cover sheet, attachments and documents: 7

11/04/2002 LINEELLER 00000204 10241615  
01 FC-0021

40.00 US

JOINT INVENTION  
(U.S. Rights Only)

**ASSIGNMENT**

WHEREAS, We, the below named inventors, (hereinafter referred to as assignors, have made an invention entitled:

**OPTICAL WAVEGUIDES AND DEVICES INCLUDING SAME**

for which we executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on September 12, 2002 (Application No. \_\_\_\_\_); and

WHEREAS, the UNIVERSITY OF SOUTHAMPTON, a corporation of the United Kingdom, whose post office address is Centre for Enterprise & Innovation, Highfield, Southampton, Hampshire SO17 1BJ, United Kingdom (hereinafter referred to as assignee), is desirous of securing the entire right, title, and interest in and to this invention, the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that, for good and valuable consideration the receipt of which from assignee is hereby acknowledged, we, as assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof; and we hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue all Letters Patent for this invention to assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY further covenant and agree that we will, without further consideration, communicate with assignee, its successors and assigns, any facts known to us respecting this invention and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver all papers that may be necessary or desirable to perfect the title to this invention in said assignee, its successors and assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

AND, WE HEREBY authorize and request the attorneys we have empowered in the Declaration and Power of Attorney in this application, to insert here in parentheses (Application No. 10/241,615, filed September 12, 2002) the filing date and application number of said application when known.

IN TESTIMONY WHEREOF, we have hereunto set our hands.

**First Assignor**

Gilberto BRAMBILLA  
University of Southampton,  
Centre for Enterprise & Innovation,  
Highfield, Southampton,  
Hampshire SO17 1BJ, United Kingdom

Citizenship: Italy

Signature: Gilberto Brambilla

Date: 25 9 2002

**Second Assignor**

Valerio PRUNERI  
University of Southampton,  
Centre for Enterprise & Innovation,  
Highfield, Southampton,  
Hampshire SO17 1BJ, United Kingdom

Citizenship: Italy

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Third Assignor**

Laurence REEKIE  
University of Southampton,  
Centre for Enterprise & Innovation,  
Highfield, Southampton,  
Hampshire SO17 1BJ, United Kingdom

Citizenship: United Kingdom

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

JOINT INVENTION  
(U.S. Rights Only)

**ASSIGNMENT**

WHEREAS, We, the below named inventors, (hereinafter referred to as assignors, have made an invention entitled:

**OPTICAL WAVEGUIDES AND DEVICES INCLUDING SAME**

for which we executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on September 12, 2002 (Application No. \_\_\_\_\_); and

WHEREAS, the UNIVERSITY OF SOUTHAMPTON, a corporation of the United Kingdom, whose post office address is Centre for Enterprise & Innovation, Highfield, Southampton, Hampshire SO17 1BJ, United Kingdom (hereinafter referred to as assignee), is desirous of securing the entire right, title, and interest in and to this invention, the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that, for good and valuable consideration the receipt of which from assignee is hereby acknowledged, we, as assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof; and we hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue all Letters Patent for this invention to assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY further covenant and agree that we will, without further consideration, communicate with assignee, its successors and assigns, any facts known to us respecting this invention and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver all papers that may be necessary or desirable to perfect the title to this invention in said assignee, its successors and assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

AND, WE HEREBY authorize and request the attorneys we have empowered in the Declaration and Power of Attorney in this application, to insert here in parentheses (Application No. 10/241,615 , filed September 12, 2002) the filing date and application number of said application when known.

IN TESTIMONY WHEREOF, we have hereunto set our hands.

**First Assignor**

Gilberto BRAMBILLA  
University of Southampton,  
Centre for Enterprise & Innovation,  
Highfield, Southampton,  
Hampshire SO17 1BJ, United Kingdom

Citizenship: Italy

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Second Assignor**

Valerio PRUNERI  
University of Southampton,  
Centre for Enterprise & Innovation,  
Highfield, Southampton,  
Hampshire SO17 1BJ, United Kingdom

Citizenship: Italy

Signature: Valerio Pruner

Date: 23 Sept. 2002

**Third Assignor**

Laurence REEKIE  
University of Southampton,  
Centre for Enterprise & Innovation,  
Highfield, Southampton,  
Hampshire SO17 1BJ, United Kingdom

Citizenship: United Kingdom

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

WHEREAS, We, the below named inventors, (hereinafter referred to as assignors, have made an invention entitled:

for which we executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on September 12, 2002 (Application No. \_\_\_\_\_); and

NOW THEREFORE, be it known that, for good and valuable consideration the receipt of which from assignee is hereby acknowledged, we, as assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof; and we hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue all Letters Patent for this invention to assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY further covenant and agree that we will, without further consideration, communicate with assignee, its successors and assigns, any facts known to us respecting this invention and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver all papers that may be necessary or desirable to perfect the title to this invention in said assignee, its successors and assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States, it being understood that any expense incident to the execution of such papers shall be borne by the assignee, its successors and assigns.

AND, WE HEREBY authorize and request the attorneys we have empowered in the Declaration and Power of Attorney in this application, to insert here in parentheses (Application No. 10/241,615, filed September 12, 2002) the filing date and application number of said application when known.

IN TESTIMONY WHEREOF, we have hereunto set our hands.

**First Assignor**

Gilberto BRAMBILLA  
University of Southampton,  
Centre for Enterprise & Innovation,  
Highfield, Southampton,  
Hampshire SO17 1BJ, United Kingdom

Citizenship: Italy

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Second Assignor**

Valerio PRUNERI  
University of Southampton,  
Centre for Enterprise & Innovation,  
Highfield, Southampton,  
Hampshire SO17 1BJ, United Kingdom

Citizenship: Italy

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Third Assignor**

Laurence REEKIE  
University of Southampton,  
Centre for Enterprise & Innovation,  
Highfield, Southampton,  
Hampshire SO17 1BJ, United Kingdom

Citizenship: United Kingdom

Signature:  \_\_\_\_\_

Date: 21<sup>TH</sup> SEPTEMBER, 2002