

12-26-2002



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Tab settings

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

1. Name of conveying party(ies):

Subhash L. Shinde L. Wynn Herron
Mario J. Interrante How T. Lin
Steven P. Ostrander Sudipta K. Ray
William E. Sablinski Hilton Toy

Additional names(s) of conveying party(ies) attached? Yes No

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

Name: International Business Machines Corporation

Internal Address:

Street Address: New Orchard Road

City: Armonk State: NY ZIP: 10504

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

3. Nature of conveyance:

12116102

- Assignment Merger
- Security Agreement Change of Name
- Other

Execution Date: 12-09-02, 12-09-02, 12-12-02, 12-13-02,
12-12-02, 12-09-02, 12-09-02, 12-09-02

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

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

A. Patent Application No(s)

EU 702259857 US

B. Patent No.(s)

12-09-02, 12-09-02,
12-12-02, 12-13-02,
12-12-02, 12-09-02,
12-09-02, 12-09-02

EXPRESS MAIL NO. 12116102
I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE U.S. POSTAL SERVICE AS EXPRESS MAIL IN AN ENVELOPE ADDRESSED TO: COMMISSIONER OF PATENTS AND TRADEMARKS, WASHINGTON, D.C. 20231 APPLICANT AND/OR ATTORNEY REQUESTS THE DATE OF DEPOSIT AS THE FILE DATE.

DATE OF DEPOSIT: 12/14/02

BY SIGNATURE & DATE: *James J. Cioffi* 12/16/02

Additional numbers attached? Yes No

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

Name: James J. Cioffi



Internal Address: 32074

PATENT TRADEMARK OFFICE

Street Address:

City: State: ZIP:

6. Total number of applications and patents involved: 1

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

- Enclosed - Any excess or insufficiency should be credited or debited to deposit account
- Authorized to be charged to deposit account

8. Deposit account number:

09-0458 FI-585

(Attach duplicate copy of this page if paying by deposit account)

12/24/2002 DDYNE 00000117 090458 10320044

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9. Statement and signature.

01 FE:0021 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.

James J. Cioffi, Reg. No. 51,564

Name of Person Signing

James J. Cioffi
Signature

12/16/02

Date

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

ASSIGNMENT

Whereas, we

Inventor
and City

(1) Subhash L. Shinde
County of Westchester

City of Cortlandt Manor
and State of New York

(2) L. Wynn Herron
County of Ulster

City of New Paltz
and State of New York

(3) Mario J. Interrante
County of Ulster

City of New Paltz
and State of New York

(4) How T. Lin
County of Broome

City of Vestal
and State of New York

(5) Steven P. Ostrander
County of Dutchess

~~City of Wappingers Falls~~ *town of purshope*
and State of New York

SPO

(6) Sudipta K. Ray
County of Dutchess

City of Wappingers Falls
and State of New York

(7) William E. Sablinski
County of Dutchess

City of Beacon
and State of New York

and

(8) Hilton Toy
County of Dutchess

City of Hopewell Junction
and State of New York

have invented certain improvements in

Title

OPTOELECTRONIC PACKAGE STRUCTURE AND PROCESS FOR PLANAR
PASSIVE OPTICAL AND OPTOELECTRONIC DEVICES

and have executed, respectively, a United States patent application therefor on

Dates That
Inventors
Signed the
Declaration

(1)	12/09/02	2002,	(2)	12/09/02 ^{with} 12/09/02	2002,
(3)	12-12-02	2002,	(4)		2002,
(5)	12-12-02	2002,	(6)	D.R. - 9th	2002,
(7)	12-09-02	2002, and	(8)	12/9/02	2002

Whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York, having a place of business at Armonk, New York 10504, (hereinafter called IBM), desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we the above named hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right, title and interest in the said application and invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and we request the Commissioner of Patents to issue any Letters Patent granted upon the invention set forth in said application to IBM, its successors and assigns; and we hereby agree that IBM may apply for foreign Letters Patent on said invention and we will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

City Date (1) Signed at East Fishkill, NY on 12/09/02

Subhash L. Shinde signature inventor

City Date (2) Signed at East Fishkill, NY on 12/09/02

L. Wynn Herron signature inventor

City Date (3) Signed at EAST FISHKILL, NY on 12-12-02

Mario J. Interrante signature inventor

City Date (4) Signed at on

How T. Lin signature inventor

City Date (5) Signed at EAST Fishkill, NY on 12-12-02

Steven P. Ostrander signature inventor

City Date (6) Signed at E. Fishkill, NY on Dec. 9th, 2002

Sudipta K. Ray signature inventor

City Date (7) Signed at EAST FISHKILL, NY on 12-09-02

William E. Sablinski signature inventor

City Date (8) Signed at EF NY on 12/9/02

Hilton Toy signature inventor

(IBM Docket No.: FIS920020070US1)

ASSIGNMENT

Whereas, we

Inventor
and City

(1) Subhash L. Shinde
County of Westchester

City of Cortlandt Manor
and State of New York

(2) L. Wynn Herron
County of Ulster

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PASSIVE OPTICAL AND OPTOELECTRONIC DEVICES

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Inventors
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(1)	2002,	(2)	2002,
(3)	2002,	(4)	2002,
(5)	2002,	(6)	2002,
(7)	2002, and	(8)	2002

12/13/

Whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York, having a place of business at Armonk, New York 10504, (hereinafter called IBM), desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we the above named hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right, title and interest in the said application and invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and we request the Commissioner of Patents to issue any Letters Patent granted upon the invention set forth in said application to IBM, its successors and assigns; and we hereby agree that IBM may apply for foreign Letters Patent on said invention and we will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

(IBM Docket No.: FIS920020070US1)

City Date (1) Signed at on

(Subhash L Shinde) signature
 First Name Middle Initial Last Name) inventor

City Date (2) Signed at on

(L. Wynn Herron) signature
 First Name Middle Initial Last Name) inventor

City Date (3) Signed at on

(Mario J. Interrante) signature
 First Name Middle Initial Last Name) inventor

City Date (4) Signed at on

ENDICOTT, NY
 12/13/2002

(How T. Lin) signature
 First Name Middle Initial Last Name) inventor

City Date (5) Signed at on

(Steven P. Ostrander) signature
 First Name Middle Initial Last Name) inventor

City Date (6) Signed at on

(Sudipta K. Ray) signature
 First Name Middle Initial Last Name) inventor

City Date (7) Signed at on

(William E. Sablinski) signature
 First Name Middle Initial Last Name) inventor

City Date (8) Signed at on

(Hilton Toy) signature
 First Name Middle Initial Last Name) inventor