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08-13-2003

Form PTO-1595
(Rev. 10/02)

OMB No. 0651-0027 (exp. 6/30/2005)

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U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

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

1. Name of conveying party(ies):

David W. Vernooy Oskar J. Painter
Kerry J. Vahala Guido Hunziker
Peter C. Sercel

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

2. Name and address of receiving party(ies)

Name: Xponent Photonics Inc

Internal Address: _____

Street Address: 425 East Huntington Drive

City: Monrovia State: CA Zip: 91016

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

3. Nature of conveyance:

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

Vernooy - 03/17/2003; Painter - 03/19/2003
Vahala - 03/21/2003; Hunziker - 03/17/2003
Sercel - 03/13/2003

Execution Date: _____

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 is: _____

A. Patent Application No.(s) 10/037,146

B. Patent No.(s) _____

Additional numbers attached? ☐ Yes ☒ No

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

Name: David S. Alavi

Internal Address: _____

Street Address: 3762 West 11th Ave #408

City: Eugene State: OR Zip: 97402

6. Total number of applications and patents involved: 1

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

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number: _____

DO NOT USE THIS SPACE

9. Signature.

David S. Alavi Reg. No. 40310

Name of Person Signing

Signature

03/15/2004

Date

Total number of pages including cover sheet, attachments, and documents: 6

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

PATENT
REEL: 014417 FRAME: 0408

ASSIGNMENT OF APPLICATION	Docket Number (Optional) CQC13NP
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Whereas, I/We, David W. Vernoooy of Sierra Madre, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators

☒ for which an application for a United States Patent was filed on 12/21/2001
Application Number 10 / 037,146

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

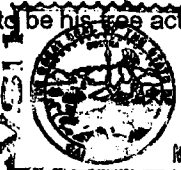
Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 17TH day of MARCH, 2003
at Monrovia, California

State of CALIFORNIA
County of Los Angeles SS: DAVID VERNOOY

Before me personally appeared said DAVID VERNOOY
and acknowledged the foregoing instrument to be his free act and deed this
day of MARCH, 2003.

Seal



PAMELA STOCK
Comm. # 1216780
NOTARY PUBLIC - CALIFORNIA
Los Angeles County
My Comm. Expires April 23, 2003

(Signature)
[Signature]
(Notary Public)
[Signature]

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below*.

* ☒ Total of 5 forms are submitted.

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This form offers a sample or suggested format for an assignment document. This sample form is not an OMB officially approved form.

ASSIGNMENT OF APPLICATION

Docket Number (Optional)

CQC13NP

Whereas, I/We, Kerry J. Vahala of San Gabriel, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators

☒ for which an application for a United States Patent was filed on 12/21/2001

Application Number 10 / 037,146

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is

desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 21st day of MARCH, 2003
at Monrovia, California

State of CALIFORNIA

County of Los Angeles

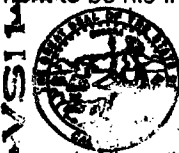
SS:

Before me personally appeared said KERRY VAHALA

and acknowledged the foregoing instrument to be his free act and deed this

day of MARCH, 2003.

Seal



PAMELA STOCK

Comm. # 1216780

NOTARY PUBLIC - CALIFORNIA

Los Angeles County

My Comm. Expires April 23, 2003

(Notary Public)

Note: Signatures of all the inventors or assignees of record and the interest of their representatives are required. Submit multiple forms if more than one signature is required. See below*.

* ☒ Total of 5 forms are submitted.

This form offers a sample or suggested format for an assignment document. This sample form is not an OMB officially approved form.

* COPY *

ASSIGNMENT OF APPLICATION

Docket Number (Optional)
CQC13NP

Whereas, I/We, Peter C. Sercel of Pasadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators

☒ for which an application for a United States Patent was filed on 12/21/2001
Application Number 10 / 037,146

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 13TH day of MARCH, 2003
at MONROVIA, CALIFORNIA

State of CALIFORNIA

County of LOS ANGELES

SS:

PETER SERCEL

Before me personally appeared said PETER SERCEL

and acknowledged the foregoing instrument to be his free act and deed this 13TH day of MARCH, 2003

Seal



PAMELA STOCK
Comm. # 121875
NOTARY PUBLIC - CALIFORNIA
Los Angeles County
My Comm. Expires April 23, 2003

(Notary Public)

Note: Signatures of all the inventors or assignees or their legal representatives are required. Submit multiple forms if more than one signature is required. See below.

* ☒ Total of 5 forms are submitted.

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ASSIGNMENT OF APPLICATIONDocket Number (Optional)
CQC13NP

Whereas, I/We, Oskar J. Painter of Pasadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators

☒ for which an application for a United States Patent was filed on 12/21/2001
Application Number 10 / 037,146

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 19TH day of MARCH, 2003
at Monrovia, California

State of CALIFORNIACounty of LOS ANGELES

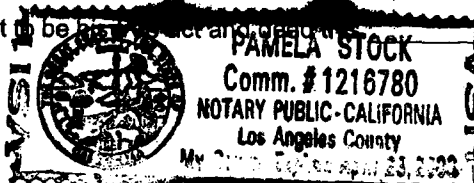
SS:

Before me personally appeared said OSKAR PAINTER

and acknowledged the foregoing instrument to be his act and deed.

day of MARCH, 2003.

Seal



(Signature)

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

* ☒ Total of 5 forms are submitted.

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ASSIGNMENT OF APPLICATION

Docket Number (Optional)
CQC13NP

Whereas, I/We, Guido Hunziker of Altadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical modulators

☒ for which an application for a United States Patent was filed on 12/21/2001
Application Number 10 / 037,146

☐ for which an application for a United States Patent was executed on _____, and

Whereas, Xponent Photonics Inc of Monrovia, CA herein referred to "assignee" whose mailing address is 425 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of ten dollars (\$ 10), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 17TH day of MARCH, 2003
at MONROVIA, CALIFORNIA

State of CALIFORNIA
County of LOS ANGELES SS:

Before me personally appeared said GUIDO HUNZIKER

and acknowledged the foregoing instrument to be his free act and deed this 17TH day of MARCH, 2003.

Seal



PAMELA STOCK
Comm. # 1216780
NOTARY PUBLIC - CALIFORNIA
Los Angeles County
My Comm. Expires April 23, 2003

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

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