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HEET

U.S. DEPARTMENT OF COMMERCE

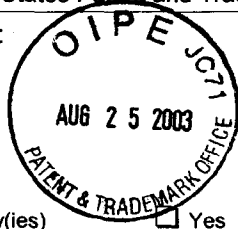
Patent and Trademark Office

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To the Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Hiroyuki YAMAZAKI



Additional names(s) of conveying party(ies)

☐ Yes ☒ No

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

Name: NEC Corporation

Address: 7-1, Shiba

5-Chome

Minato-ku

City: Tokyo

State/Prov.:

Country: Japan

ZIP:

3. Nature of conveyance:

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

Execution Date: May 19, 2003

Additional name(s) &amp; address(es)

☐ Yes ☒ No

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:

Patent Application No.

Filing date

B. Patent No.(s)

10/439,760

May 16, 2003

Additional numbers

☐ Yes ☒ No

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

Name: Paul J. Esatto, Jr.

Registration No. 30,749

Address: SCULLY, SCOTT, MURPHY &amp; PRESSER

400 Garden City Plaza

City: Garden City

State/Prov.: NY

Country: USA

ZIP: 11530

6. Total number of applications and patents involved: 1

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

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

8. Deposit account number:

19-1013/SSMP

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

08/28/2003 DRYGNE 00000027 10439760

9. Statement and Signature.

01 For 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 J. Esatto, Jr.

Name of Person Signing

Signature

August 22, 2003

Date

3

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PATENT  
REEL: 014430 FRAME: 0397

## Assignment

*In consideration of One Dollar (\$1.00), and other good and valuable considerations, the receipt of which is hereby acknowledged, I, the undersigned, Hiroyuki YAMAZAKI*

*Hereby sell, assign and transfer to* NEC Corporation  
*a corporation*

*of* Japan *having a place of business at*  
7-1, Shiba 5-chome, Minato-ku, Tokyo, Japan

*its successors, assigns and legal representatives, the entire right, title and interest for all countries, in and to any and all improvements which are disclosed and claimed, and as possessed by the undersigned, any and all improvements which are disclosed but not claimed, in the application for United States Patent, which has been executed by the undersigned*

*on* May 19, 2003 *and is entitled*

OPTICAL WAVEGUIDE DEVICE AND METHOD OF FABRICATING THE SAME

*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 on any of said improvements disclosed in said application; and in and to all original and reissued patents which have been or shall be issued on said improvements;*

*Authorize and request the Commissioner of Patents to issue to said Assignee, the corporation above named, its successors, assigns and legal representatives, in accordance with this assignment, any and all United States Letters Patent on said improvements, or any of them, disclosed in said application;*

*Agree that said Assignee may apply for and receive foreign Letters Patent for said improvements, or any of them; and may claim, in applications for said foreign Letters Patent, the priority of the aforesaid United States application under the provisions of the International Convention; 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, for the United States and all foreign countries, 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; testify in all legal proceedings; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing, maintaining and enforcing 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.

Date: May 19, 2003

Hiroyuki Yamazaki (L.S.)  
Hiroyuki YAMAZAKI

Witness: Tadayuki Tanigawa

Hiroaki Hara

Date: \_\_\_\_\_ (L.S.)

Witness: \_\_\_\_\_

Date: \_\_\_\_\_ (L.S.)

Witness: \_\_\_\_\_

Date: \_\_\_\_\_ (L.S.)

Witness: \_\_\_\_\_

Date: \_\_\_\_\_ (L.S.)

Witness: \_\_\_\_\_