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FINANCE SECTION

To the Honorable Director of the United States Patent and Trademark Office

102653973

and original documents or copy thereof.

1. Name of conveying party(ies):  
**HANS KRAGL**  
*1.20.04*

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

2. Name and address of receiving party(ies):  
Name: **DIEMOUNT GMBH**  
Internal Address: \_\_\_\_\_  
Street Address: **KONRAD-ZUSE-STRASSE 14**  
**D-99099 ERFURT**  
City: **GERMANY** State: \_\_\_\_\_ ZIP: \_\_\_\_\_

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

3. Nature of conveyance:  
 Assignment  Merger  
 Security Agreement  Change of Name  
 Other \_\_\_\_\_

Execution Date: **JUNE 11, 2003**

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)  
**10/608,922**

Additional numbers attached?  Yes  No

B. Patent No.(s)

5. Name and address of party to whom correspondence concerning document should be mailed:  
Name: **JOHN W. BAIN, REG. NO. 42,283**  
Internal Address: **JANSSON, SHUPE & MUNGER, LTD.**  
Street Address: **245 MAIN STREET**  
**01/23/2004 BYRNE 00000178 100270 10608922**  
**01 FC:8021 40.00 BA**  
City: **RACINE** State: **WI** ZIP: **53403**

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:  
**10-0270**

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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.*

**JOHN W. BAIN, REG. NO. 42,283** *[Signature]* **JANUARY 15, 2003**

Name of Person Signing Signature Date

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

**ASSIGNMENT**

THIS INSTRUMENT OF ASSIGNMENT WITNESSETH THAT:

WHEREAS, I, Dr. Hans Kragl;

a resident of Amselweg 1, D-31199 Diekholzen, Germany

have invented improvements in

**Coupling device for optically coupling an optical waveguide  
to an electro-optical element**

for which I have executed on even date herewith an application for Letters Patent in the United States, and

WHEREAS,

DieMount GmbH

a corporation of Germany

having a place of business at

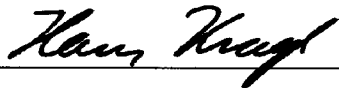
Konrad-Zuse-Strasse 14  
D-99099 Erfurt / Germany

is desirous of acquiring an interest in said invention, said application and the Letters Patent to be issued therefor:

NOW, THEREFORE, to all whom it may concern, be it known that for and in good and valuable considerations, the receipt whereof is hereby acknowledged, I have sold, assigned and set over, and do hereby sell, assign and set over to said corporation, its successors or assigns, the entire right, title and interest to and in said invention in the United States and in all foreign countries, said United States application for Letters Patent therefor and the Letters Patent when issued; and I do hereby authorize and request the Commissioner of Patents and Trademarks to issue the Letters Patent based upon said application to said corporation as the assignee of my entire right, title and interest to and in the same, for the sole use and behoof of said corporation, its successors or assigns.

And I also hereby covenant and agree to sign all proper papers including divisional and other applications for patents and assignments thereof in the United States and applications for patents and assignments thereof in all foreign countries, and to execute all rightful oaths and to take any other proper action that may in the judgement of the said corporation be necessary for securing thereto full rights to said invention, all of the foregoing to be at the expense of said corporation.

IN TESTIMONY WHEREOF, I have hereunto set my hand  
this 6th day of June, 2003.

  
\_\_\_\_\_

Applicant or Patentee: Hans Kragl  
Serial or Patent No.:  
Filed or Issued:

Attorney's Docket  
No.: *KS-4316115*

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- the owner of the small business concern identified below:  
 an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: DieMount GmbH  
ADDRESS OF CONCERN: Konrad-Zuse-Strasse 14, D-99099 Erfurt / Germany

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **Coupling device for optically coupling an optical waveguide to an electro-optical element** by inventor(s) **Hans Kragl** described in

- the specification filed herewith  
 application serial no. , filed  
 patent no. , issued .

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME:  
ADDRESS:  
 INDIVIDUAL  SMALL BUSINESS CONCERN  NONPROFIT ORGANIZATION

NAME:  
ADDRESS:  
 INDIVIDUAL  SMALL BUSINESS CONCERN  NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification to any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Hans Kragl  
TITLE OF PERSON OTHER THAN OWNER: General Manager  
ADDRESS OF PERSON SIGNING: Amselweg 1, D-31199 Diekholzen / germany

SIGNATURE: *Hans Kragl* DATE: *11. June 03*

Applicant or Patentee: Hans Kragl  
Serial or Patent No.:  
Filed or Issued:

Attorney's Docket  
No.: KS-431645

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled **Coupling device for optically coupling an optical waveguide to an electro-optical element**

described in

- the specification filed herewith
- application serial no. , filed
- patent no. , issued

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which could not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- no such person, concern, or organization
- persons, concerns or organizations listed below\*

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME: DieMount GmbH

ADDRESS: Konrad-Zuse-Strasse 14, D-99099 Erfurt / Germany

- INDIVIDUAL
- SMALL BUSINESS CONCERN
- NONPROFIT ORGANIZATION

FULL NAME:

ADDRESS:

- INDIVIDUAL
- SMALL BUSINESS CONCERN
- NONPROFIT ORGANIZATION

FULL NAME:

ADDRESS:

- INDIVIDUAL
- SMALL BUSINESS CONCERN
- NONPROFIT ORGANIZATION

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF INVENTOR

NAME OF INVENTOR

NAME OF INVENTOR

Hans Kragl

Signature of Inventor

Signature of Inventor

Signature of Inventor

Date

Date

Date

11. June 03