

04-29-2004

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

1. Name of conveying party(ies):

Prakash Gothoskar
Margaret Ghiron
Robert Keith Montgomery
Vipulkumar PatelAdditional name(s) of conveying party(ies) attached? ☒ Yes ☐ No

2. Name and address of receiving party(ies)

Name: SiOptical, Inc.

Internal Address: _____

Street Address: 7540 Windsor Dr.Lower LevelCity: Allentown State: PA Zip: 18195Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:



Assignment



Merger



Security Agreement



Change of Name



Other _____

Execution Date: 04/20/2004, 04/20/2004,
04/20/2004, 04/20/2004

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

10830571If this document is being filed together with a new application, the execution date of the application is: 04/20/2004

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☒ Yes ☐ No

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

Name: Wendy W. Koba

Internal Address: _____

Street Address: PO Box 556City: Springtown State: PA Zip: 180816. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41).....\$ 40.00

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Authorized to be charged to deposit account

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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.*Wendy W. Koba

Name of Person Signing

Wendy W. Koba

Signature

4/23/04

Date

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

1. Name of conveying party(ies):

Kalpendu Shastri
Soham Pathak
Katherine A. VanushefskiAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Date: 04/20/2004, 04/20/2004,
04/20/2004

2. Name and address of receiving party(ies)

Name: _____

Internal Address: _____

Street Address: _____

City: _____ State: _____ Zip: _____

Additional name(s) & address(es) attached? ☐ 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 is: 04/20/2004

A. Patent Application No.(s)

B. Patent No.(s)

04/20/2004
04/20/2004
04/20/2004Additional numbers attached? ☐ Yes ☒ No

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

Name: _____

Internal Address: _____

Street Address: _____

City: _____ State: _____ Zip: _____

6. Total number of applications and patents involved: ☐

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

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Washington, D.C. 2023122387 U.S. PTO
10/830571

042304

ASSIGNMENT AND AGREEMENT

For value received, we, Prakash Gothoskar of Allentown in the County of Lehigh and State of Pennsylvania, Margaret Ghiron of Allentown in the County of Lehigh and State of Pennsylvania, Robert Keith Montgomery of Easton in the County of Northampton and State of Pennsylvania, Vipulkumar Patel of Monmouth Junction in the County of Middlesex and State of New Jersey, Kalpendu Shastri of Orefield in the County of Lehigh and State of Pennsylvania, Soham Pathak of Allentown in the County of Lehigh and State of Pennsylvania and Katherine A. Yanushefski of Zionsville in the County of Berks and State of Pennsylvania, hereby sell, assign and transfer to SiOptical, Inc. a corporation of the State of Delaware, having an office at 7540 Windsor Drive, Lower Level, Allentown, PA, 18195 U.S.A., and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to **"Sub-Micron Planar Lightwave Devices Formed on an SOI Platform"** described in an application for Letters Patent of the United States, executed by us of even date herewith, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to SiOptical, Inc. the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

We authorize SiOptical, Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of SiOptical, Inc. to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We request that any and all patents for said inventions be issued to SiOptical, Inc. in the United States and in all countries foreign to the United States, or to such nominees as SiOptical, Inc. may designate.

We agree that, when requested, we shall, without charge to SiOptical, Inc. but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.

Prakash Gothoskar
Prakash Gothoskar

Date: April 20, 2004

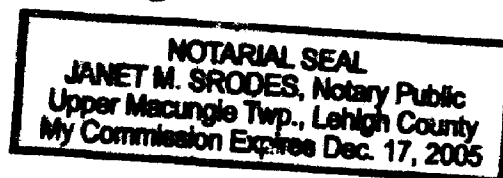
United States of America)

State of PA) ss.:

County of Lehigh)

On this 20th day of April, 2004, before me personally came Prakash Gothoskar, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Janet M. Srodes
Notary Public



Margaret Ghiron
Margaret Ghiron

Date: April 20, 2004

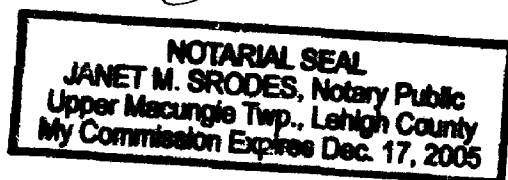
United States of America)

State of PA) ss.:

County of Lehigh)

On this 20th day of April, 2004, before me personally came Margaret Ghiron, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Janet M. Srodes
Notary Public




Robert Keith Montgomery

Date: April 20, 2004

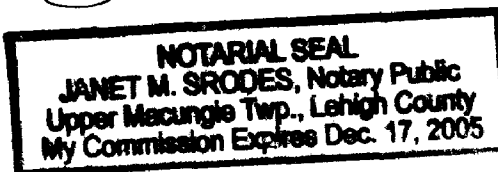
United States of America)

State of PA) ss.:

County of Lehigh)

On this 20th day of April, 2004, before me personally came Robert Keith Montgomery, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.


Notary Public



Vipulkumar Patel
Vipulkumar Patel

Date: April 20, 2004

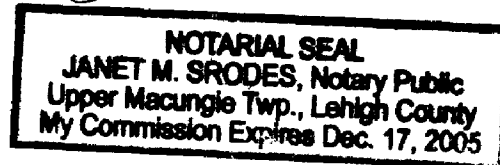
United States of America)

State of PA.) ss.:

County of Lehigh)

On this 20th day of April, 2004, before me personally came Vipulkumar Patel, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Janet M. Srodes
Notary Public



Kalpendu Shastri
Kalpendu Shastri

Date: April 20, 2004

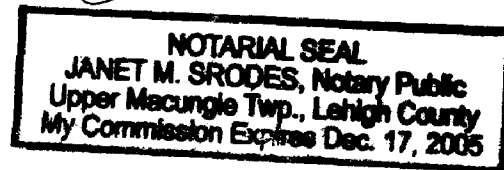
United States of America)

State of PA) ss.:

County of Lehigh)

On this 20th day of April, 2004, before me personally came Kalpendu Shastri, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Janet M. Srodes
Notary Public



Soham Pathak
Soham Pathak

Date: April 20, 2004

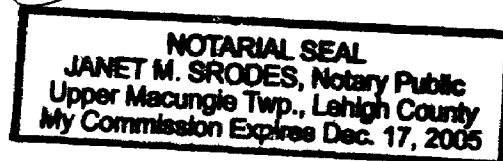
United States of America)

State of PA) ss.:

County of Lehigh)

On this 20th day of April, 2004, before me personally came Soham Pathak, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Janet M. Srodes
Notary Public



Katherine A. Yanushefski
Katherine A. Yanushefski

Date: April 20, 2004

United States of America)

State of PA) ss.:

County of Lehigh)

On this 20th day of April, 2004, before me personally came Katherine A. Yanushefski, to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Janet M. Srodes
Notary Public

