

11-03-2004

RE



4-7604

102874605
PATENT

10-29-04

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)/Execution Date(s):

Li Cai
James M. VanHove
Mark McElhinney

Execution Date(s) 02/05/2004; 02/16/2004/ and 04/20/2004

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

2. Name and address of receiving party(ies)

Name: ADC Telecommunications, Inc.

Internal Address: _____

Street Address: 13625 Technology Drive

City: Eden Prairie

State: MN

Country: USA Zip: 55344

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

3. Nature of conveyance:

- Assignment Merger
- Security Agreement Change of Name
- Government Interest Assignment
- Executive Order 9424, Confirmatory License
- Other _____

4. Application or patent number(s):

This document is being filed together with a new application.

A. Patent Application No.(s)

B. Patent No.(s)

Serial No. 10,657,807, filed September 8, 2003

Additional numbers attached? Yes No

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

Name: Iain A. McIntyre

Internal Address: Carlson, Caspers, Vandenburg

& Lindquist

Street Address: 225 South Sixth Street

Suite 3200

City: Minneapolis

State: MN Zip: 55402

Phone Number: 612.436.9600

Fax Number: 612.436.9605

Email Address: imcintyre@ccvl.com

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 1.21(h) & 3.41) \$ _____

- Authorized to be charged by credit card
- Authorized to be charged to deposit account
- Enclosed
- None required (government interest not affecting title)

8. Payment Information

a. Credit Card Last 4 Numbers _____
Expiration Date _____

b. Deposit Account Number _____

Authorized User Name _____

9. Signature:

Iain A. McIntyre
Signature

25 Oct, 2004
Date

Iain A. McIntyre

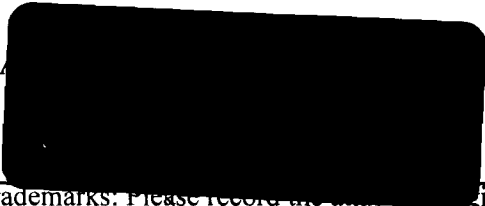
Name of Person Signing

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

10/25/04

Documents to be recorded (including cover sheet) should be faxed to (703) 306-5995, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

RECORD



Docket No.: 1010.8117UU

4.26.04

Patent and Trademark Office

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

1. Name of conveying party(ies):

Li Cai
James M. VanHove
Mark McElhinney

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

ADC Telecommunications, Inc.
13625 Technology Drive
Eden Prairie, MN 55344 USA

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

Additional name(s) of conveying party(ies) attached?
[]Yes [X]No

3. Nature of conveyance:

- Assignment [] Merger
- Security Agreement [] Change of Name
- Other

Execution Date: February 5, 2004; February 16, 2004;
and April 20, 2004

OFFICE OF PUBLIC RECORDS
2004 APR 26 AM 10:09
FINANCE SECTION

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):

B. Patent No.(s)

Serial No. 10/657,807, filed September 8, 2003

Additional numbers attached? []Yes [X]No

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

Name: Iain A. McIntyre
Address: Carlson, Caspers, Vandenburg & Lindquist
225 South Sixth Street
Suite 3200
Minneapolis, MN 55402

6. Total number of applications and patents involved: 1

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

- Enclosed
- Authorized to be charged to deposit account

8. Please charge any additional fees or credit any over payments to our Deposit account number: 50-2886

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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.

Iain A. McIntyre, Reg. No. 40,337

Name of Person Signing

Signature

Date

04/27/2004 6TON11 00000134 10657807

Total number of pages including cover sheet: 10

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Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks
Mail Stop Assignment Recordation Services
P.O. Box 1450
Alexandria, VA 22313-1450

PATENT
REEL: 015936 FRAME: 0843

PATENT ASSIGNMENT

WHEREAS,

1. Li Cai residing at 4407 West Trillium Lane, Fayetteville, Arkansas 72704 and a citizen of USA; and
2. James M. VanHove residing at 1442 Eldorado Drive, Superior, Colorado 80027 and a citizen of USA
3. Mark McElhinney residing at 11471 North Charoleau Drive, Oro Valley, Arizona 85737 and a citizen of the U.K.

hereafter referred to as "THE UNDERSIGNED", have made an invention entitled SEMICONDUCTOR OPTICAL DEVICE HAVING ASYMMETRIC RIDGE WAVEGUIDE AND METHOD OF MAKING SAME, U.S. Patent Application Serial No. 10/657,807;

AND, WHEREAS, ADC Telecommunications, Inc., hereafter referred to as ASSIGNEE, a business organized under the laws of Minnesota and whose place of business and business address is 13625 Technology Drive, Eden Prairie, Minnesota 55344, is desirous of acquiring the entire right, title and interest in the same;

NOW, THEREFORE, in consideration of the sum of One Dollar, the receipt whereof is acknowledged, and other good and valuable consideration, THE UNDERSIGNED hereby sell, assign and transfer unto ASSIGNEE the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to all divisionals, continuations, continuations in part, reissues, reexaminations or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extension of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said invention including an assignment of all rights under the provision of international conventions and all Letters Patent of foreign countries which may be granted therefrom; the UNDERSIGNED hereby authorize the Commissioner of Patents to issue any and all United States Letters Patent for the aforesaid invention to ASSIGNEE of the entire right, title and interest in and to the same, for the use of the ASSIGNEE, its successors and assigns.

THE UNDERSIGNED, hereby agree that THE UNDERSIGNED, their executors and legal representatives will make, execute and deliver (without charge but at the expense of the ASSIGNEE) any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said ASSIGNEE, its successors and representatives all facts Known to THE UNDERSIGNED relating to said invention and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable to vest the ASSIGNEE, its successors or assigns the entire right, title and interest in and to the said invention, applications, Letters Patent, rights, titles and benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

Assignment

THE UNDERSIGNED represent and agree with said Assignee its successors and assignees, that no assignment grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by THE UNDERSIGNED, and that full right to convey the same as herein expressed is possessed by THE UNDERSIGNED.

IN TESTIMONY WHEREOF, THE UNDERSIGNED have hereunto set their hand on this 05 day of February, 2004.

Li Cai
Li Cai

State of Arkansas)
County of Washington)

On this 5th day of February, 2004, before me personally appeared Li Cai, to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the use and purposes therein set forth.

[SEAL]

Marcia Ramey
Notary Public

IN TESTIMONY WHEREOF, THE UNDERSIGNED have hereunto set their hand on this _____ day of _____, 2004.

James M. VanHove

State of _____)
County of _____)

On this _____ day of _____, 2004, before me personally appeared James M. VanHove, to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the use and purposes therein set forth.

[SEAL]

Notary Public

PATENT ASSIGNMENT

WHEREAS,

1. Li Cai residing at 4407 West Trillium Lane, Fayetteville, Arkansas 72704 and a citizen of USA; and
2. James M. VanHove residing at 1442 Eldorado Drive, Superior, Colorado 80027 and a citizen of USA
3. Mark McElhinney residing at 11471 North Charoleau Drive, Oro Valley, Arizona 85737 and a citizen of the U.K.

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NOW, THEREFORE, in consideration of the sum of One Dollar, the receipt whereof is acknowledged, and other good and valuable consideration, THE UNDERSIGNED hereby sell, assign and transfer unto ASSIGNEE the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to all divisionals, continuations, continuations in part, reissues, reexaminations or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extension of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the said invention including an assignment of all rights under the provision of international conventions and all Letters Patent of foreign countries which may be granted therefrom; the UNDERSIGNED hereby authorize the Commissioner of Patents to issue any and all United States Letters Patent for the aforesaid invention to ASSIGNEE of the entire right, title and interest in and to the same, for the use of the ASSIGNEE, its successors and assigns.

THE UNDERSIGNED, hereby agree that THE UNDERSIGNED, their executors and legal representatives will make, execute and deliver (without charge but at the expense of the ASSIGNEE) any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said ASSIGNEE, its successors and representatives all facts Known to THE UNDERSIGNED relating to said invention and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable to vest the ASSIGNEE, its successors or assigns the entire right, title and interest in and to the said invention, applications, Letters Patent, rights, titles and benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

Assignment

THE UNDERSIGNED represent and agree with said Assignee its successors and assignees, that no assignment grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by THE UNDERSIGNED, and that full right to convey the same as herein expressed is possessed by THE UNDERSIGNED.

IN TESTIMONY WHEREOF, THE UNDERSIGNED have hereunto set their hand on this _____ day of _____, 2004.

Li Cai

State of _____)
County of _____)

On this ____ day of _____, 2004, before me personally appeared Li Cai, to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the use and purposes therein set forth.

[SEAL]

Notary Public

IN TESTIMONY WHEREOF, THE UNDERSIGNED have hereunto set their hand on this 16 day of Feb, 2004.

James M Van Hove
James M. VanHove

State of Colorado)
County of Boulder)

On this 16th day of February, 2004, before me personally appeared James M. VanHove, to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the use and purposes therein set forth.

[SEAL]

Rhys Kamin
Notary Public
State of Colorado
My Commission Expires 12/12/2007

Rhys Kamin
Notary Public

IN TESTIMONY WHEREOF, THE UNDERSIGNED have hereunto set their hand on this _____ day of _____, 2004.

Mark McElhinney

State of _____)
County of _____)

On this _____ day of _____, 2004, before me personally appeared Mark McElhinney, to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the use and purposes therein set forth.

[SEAL]

Notary Public

PATENT ASSIGNMENT

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Assignment

PATENT

REEL: 015936 FRAME: 0850

