

12-15-2004

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

12-6-04



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REC

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):

David Piede
Margaret Ghiron
Prakash Gothoskar
Robert Keith Montgomery

Execution Date(s) 11/16/04, 11/16/04, 11/16/04, 11/16/04

Additional 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 Drive

Lower Level

City: Allentown

State: PA

Country: USA Zip: 18195

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):

A. Patent Application No.(s)

This document is being filed together with a new application.

B. Patent No.(s)

Additional numbers attached? Yes No

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

Name: Wendy W. Koba

Internal Address: _____

Street Address: PO Box 556

City: Springtown

State: PA Zip: 18081

Phone Number: 610-346-7112

Fax Number: 610-346-8189

Email Address: wendykoba@usa.net

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40.00

- 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:

Wendy W. Koba
Signature

12/6/2004
Date

Wendy W. Koba
Name of Person Signing

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

17858 U.S. PTO
11/005286



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**RECORDATION FORM COVER SHEET
PATENTS ONLY**

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):
Vipul Kumar Patel
Kalpendu Shastri
Soham Pathak
Katherine A. Yanushefski
Harvey Wagner
Execution Date(s) 11/16/04, 11/16/04, 11/16/04, 11/16/04, 12/2/04
Additional name(s) of conveying party(ies) attached? Yes No

2. Name and address of receiving party(ies)
Name: _____
Internal Address: _____
Street Address: _____
City: _____
State: _____
Country: _____ Zip: _____
Additional name(s) & address(es) attached? Yes No

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Name: _____
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State: _____ Zip: _____
Phone Number: _____
Fax Number: _____
Email Address: _____

6. Total number of applications and patents involved: _____
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: _____
Signature Date
Name of Person Signing
Total number of pages including cover sheet, attachments, and documents: _____



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Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

ASSIGNMENT AND AGREEMENT

For value received, we, David Piede of Allentown in the County of Lehigh and State of Pennsylvania, Margaret Ghiron of Allentown in the County of Lehigh and State of Pennsylvania, Prakash Gothoskar 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, Katherine A. Yanushefski of Zionsville in the County of Berks and State of Pennsylvania and Harvey Wagner of Macungie 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 **Planar Waveguide Optical Isolator In Thin Silicon-On-Isolator (SOI) Structure** 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.

David Piede

David Piede

Date: November 16, 2004

United States of America)

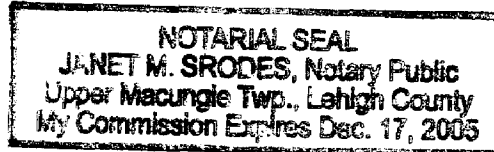
State of Pa.) ss.:

County of Lahigh)

On this 16th day of November, 2004, before me personally came David Piede, 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: November 16, 2004

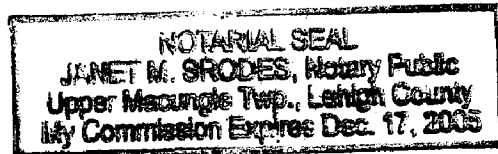
United States of America)

State of Pa.) ss.:

County of Lehigh)

On this 16th day of November, 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



Prakash Gothoskar
Prakash Gothoskar

Date: November 16, 2004

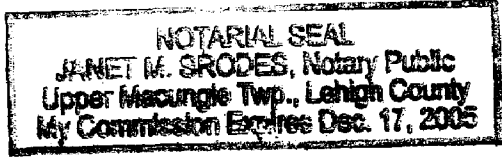
United States of America)

State of Pa.) ss.:

County of Lehigh)

On this 16th day of November, 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



Robert Keith Montgomery
Robert Keith Montgomery

Date: November 16, 2004

United States of America)

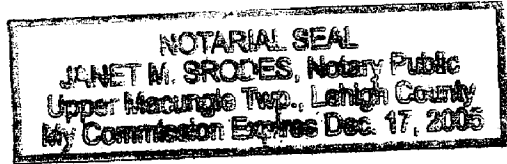
State of Pa.) ss.:

County of Lehigh)

On this 16th day of November, 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.

Janet M. Srodes

Notary Public



Vipulkumar Patel

Vipulkumar Patel

Date: November 16, 2004

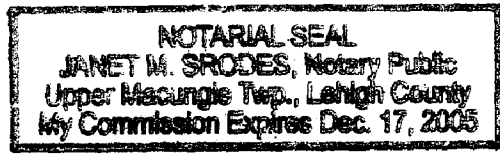
United States of America)

State of Pa.) ss.:

County of Lehigh)

On this 16th day of November, 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: November 16, 2004

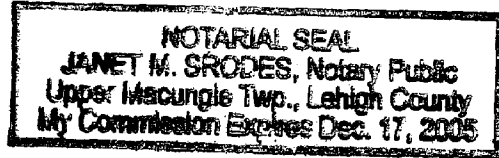
United States of America)

State of PA) ss.:

County of Lehigh)

On this 16th day of November, 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: November 16, 2004

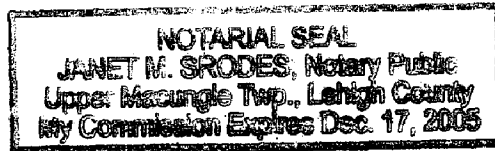
United States of America)

State of Pa.) ss.:

County of Lehigh)

On this 16th day of November, 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. Yanusheski
Katherine A. Yanusheski

Date: November 16, 2004

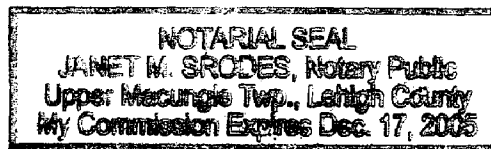
United States of America)

State of PA) ss.:

County of Lehigh)

On this 16th day of November, 2004, before me personally came Katherine A. Yanusheski, 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



Harvey L. Wagner
Harvey Wagner

Date: DECEMBER 2, 2004

United States of America)

State of PA.) ss.:

County of Lehigh)

On this 2ND day of December, 2004, before me personally came Harvey Wagner, 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

