

Attorney Docket No. 3275.20US01

FORM PTO-1595 U.S. DEPARTMENT OF COMMERCE
1/31/92 Patent and Trademark Office

RECORDATION FORM COVER SHEET
PATENTS ONLY

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

- 1. Name of conveying party(ies):
MING YAN
PING PETER XIE
ANTHONY J. TICKNOR
- 2. Name and address of receiving party(ies):
NEOPHOTONICS CORPORATION
2911 ZANKER ROAD
SAN JOSE, CALIFORNIA 95134

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

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

- 3. Nature of conveyance:
X Assignment ___ Merger
___ Other: _____

Execution Date(s): January 24, 2005; January 24, 2005; January 24, 2005

- 4. Application number(s) or patent number(s):
If this document is being filed together with a new non-provisional application, the execution date of the application is:

- A. Patent Application No(s).
11/040,906
 - B. Patent No(s).
- Additional numbers attached? ___ Yes X No


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

Customer No. 24113
Peter S. Dardi, Ph.D.
Patterson, Thucnte, Skaar & Christensen, P.A.
4800 IDS Center
80 South 8th Street
Minneapolis, Minnesota 55402-2100
- 6. Total number of applications and patents involved: 1
- 7. Total fee (37 CFR 3.41): \$ 40.00
___ Enclosed
X Authorized to be charged to deposit account
- 8. Deposit Account Number: 16-0631
(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

- 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.

Peter S. Dardi
Name of Person Signing


Signature

May 2, 2005
Date

Total number of pages comprising cover sheet: 1

CH \$40.00 160631 11040906

Attorney Docket No. 3275.20US01

ASSIGNMENT

WHEREAS, we, Ming Yan of Pleasanton, California, Ping Peter Xie of Cupertino, California, and Anthony J. Ticknor of Cupertino, California, have invented certain new and useful improvements in PHOTODETECTOR COUPLED TO A PLANAR WAVEGUIDE, for which an application for Letters Patent of the United States is being made, and which may be identified in the United States Patent Office by Application No. _____, filed _____.

WHEREAS, NeoPhotonics Corporation ("Assignee"), a business entity organized and existing under the laws of the State of Delaware, and having its principal offices at 2911 Zanker Road, San Jose, California 95134, is desirous of acquiring the entire right, title and interest in and to said invention, said application and in, to and under any and all Letters Patent to be obtained therefor;

NOW, THEREFORE, for and in consideration of One Dollar (\$1.00) and other good and valuable consideration to us in hand paid by said Assignee, the receipt of which is hereby acknowledged, we have sold, assigned and transferred, and by these presents do hereby sell, assign and transfer unto the said Assignee, its successors and assigns, our entire right, title and interest in and to said invention, said provisional/utility application, all applications claiming priority to said provisional/utility application including all divisions, continuations or renewals thereof, and the Letters Patent, both foreign and domestic, that may or shall issue, therefrom including all reissues or extensions of such patents including all of our rights under the International Convention, and we do hereby authorize and request the Commissioner of Patents to issue said Letters Patent to the above mentioned Assignee in accordance herewith.

We hereby authorize the above mentioned Assignee, its successors and assigns, or anyone it may properly designate, to insert in this instrument the date of execution and/or filing date and application number of said application when ascertained.

We further authorize said Assignee, its successors and assigns, or anyone it may properly designate, to apply for Letters Patent, in its own name if desired, in any and all foreign countries, and additionally to claim the filing date of said United States application and/or otherwise take advantage of the provisions of the International Convention.

Upon said consideration we do hereby covenant and agree with the said Assignee, its successors and assigns, that we will not execute in writing or do any act whatsoever conflicting with these presents, and that we or our executors or administrators will at any time upon request, without further or additional consideration, but at the expense of the said Assignee, its successors and assigns, execute such additional writings and do such additional acts as said Assignee, its successors and assigns, may deem necessary or desirable to perfect the Assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional, reissued or extended Letters Patent of the United States, or of any and all foreign countries on said invention, and in enforcing any rights occurring as a result of

Attorney Docket No. 3275.20US01

such applications or patents, by giving testimony in any proceedings or transactions involving such applications or patents.

IN WITNESS WHEREOF, we have hereunto set our hands and affixed our seal as dated below.

Date: Jan. 24, 2005

[Signature]
Ming Yan

Subscribed and sworn to before me this day of , 2005.

State of California } ss.
County of Santa Clara }
Subscribed and sworn to (or affirmed) before me this 24 day of JAN, 2005, by MING YAN
 Personally known to me.
 Proved to me on the basis of satisfactory evidence to be the person(s) who appeared before me.



Notary Public

[Notary Seal]

Date: Jan ~~Feb~~ 24, 2005

[Signature]
Ping Peter Xie

Subscribed and sworn to before me this 25 day of January, 2005.

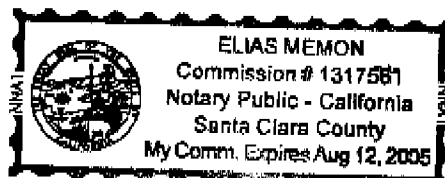
State of California } ss.
County of Santa Clara }
Subscribed and sworn to (or affirmed) before me this 24 day of JAN, 2005, by PING PETER XIE
 Personally known to me.
 Proved to me on the basis of satisfactory evidence to be the person(s) who appeared before me.

[Signature]
Signature of Notary Public

Notary Public

[Notary Seal]

Date: 24-Jan-2005



[Signature]
Anthony J. Ticknor

Subscribed and sworn to before me this day of , 2005.

State of California } ss.
County of Santa Clara }
Subscribed and sworn to (or affirmed) before me this 26 day of JAN, 2005, by ANTHONY J. TICKNOR
 Personally known to me.
 Proved to me on the basis of satisfactory evidence to be the person(s) who appeared before me.

[Signature]
Signature of Notary Public

Notary Public

[Notary Seal]

