


Form **PTO-1595** (Rev. 09/04)  
OMB No. 0651-0027 (exp. 6/30/2005)

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

**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.

<b>1. Name of conveying party(les)/Execution Date(s):</b> FENGNIAN XIA (03/08/2005) AND STEPHEN FORREST (03/07/2005)  Execution Date(s): in parentheses after inventor name Additional name(s) of conveying party(les) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<b>2. Name and address of receiving party(les)</b>  Name: <u>TRUSTEES OF PRINCETON UNIVERSITY</u> Internal Address: _____ Street Address: _____  <u>PRINCETON UNIVERSITY</u>  City: <u>PRINCETON</u> State: <u>NEW JERSEY</u> Country: <u>United States of America</u> Zip: <u>08542</u> Additional name(s) & address(es) attached: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>3. Nature of Conveyance:</b> <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Government Interest Assignment <input type="checkbox"/> Executive Order 9424, Confirmatory License <input type="checkbox"/> Other _____		<b>4. Application or patent number(s):</b> <input type="checkbox"/> This document is being filed together with a new application. A. Patent Application No.(s) 11/062,095 and 60/545,703 B. Patent No.(s)  Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>5. Name and address to whom correspondence concerning document should be mailed:</b> Name: <u>Daryl K. Neff</u> <u>LERNER, DAVID, LITTENBERG,</u> <u>KRUMHOLZ &amp; MENTLIK, LLP</u> Internal Address: <u>Atty. Dkt.: PRIN 3.0-008</u> Street Address: <u>600 South Avenue West</u>  City: <u>Westfield</u> State: <u>NJ</u> Zip: <u>07090</u> Phone Number: <u>(908) 518-6396</u> Fax Number: <u>(908) 654-7866</u> Email Address: <u>dneff@ldlkm.com</u>		<b>6. Total number of applications and patents involved:</b> <u>1</u>  <b>7. Total fee (37 CFR 1.21(h) &amp; 3.41)</b> \$ <u>40.00</u> <input type="checkbox"/> Authorized to be charged by credit card <input checked="" type="checkbox"/> Authorized to be charged to deposit account <input type="checkbox"/> Enclosed <input type="checkbox"/> None required (government interest not affecting title)  <b>8. Payment Information</b> a. Credit Card Last 4 Numbers _____ Expiration Date _____ b. Deposit Account Number <u>12-1095</u> Authorized User Name <u>Daryl K. Neff</u>	
<b>9. Signature:</b>  _____ Signature <u>Daryl K. Neff - 36,253</u> Name of Person Signing		Date <u>May 5, 2005</u> _____ Date Total number of pages including cover sheet, attachments, and documents: <u>3</u>	

CH \$80.00 121095 11062095

former PTO/SB/15 (8-00) Modified LDL&M

# ASSIGNMENT OF UTILITY APPLICATION

Docket Number (Optional)

PRIN 3.0-008

Whereas, I, Fengnian Xia Of

223A Halsey Street, Princeton, New Jersey 08540

hereafter referred to as assignor, have with others invented certain new and useful improvements in

POLARIZATION INSENSITIVE SEMICONDUCTOR OPTICAL AMPLIFIER

☒ for which an application for a United States Letters Patent was filed on February 18, 2005

☐ for which an application for a United States Letters Patent was executed by me on \_\_\_\_\_, and

Whereas, Trustees of Princeton University

a corporation of herein referred to as "assignee" whose mailing address is

Princeton University; Princeton, New Jersey 08542

is desirous of acquiring the entire right, title and interest in the same;

NOW, THEREFORE, in consideration of the sum of one dollars (\$ 1.00 ), the receipt whereof is acknowledged, and other good and valuable consideration, I as assignor hereby sell, assign and set over to said assignee my entire right, title and interest for the United States of America and all other countries in and to said invention and the aforesaid utility patent application and all original, divisional, continuation, continuation-in-part, substitute or reissue applications and patents applied for or granted therefor in the United States of America and all other countries, for said invention, including without limitation all applications and patents for said invention claiming priority or benefit of the aforesaid utility application pursuant to any law or treaty, and including the right to claim such priority or benefit and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said improvements or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for me and my legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all original, divisional, continuation, reissue and other applications for Letters Patent on said improvements and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said improvements, whenever requested, to testify in any interferences or other legal proceedings in which any of said applications or patents may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to aid assignee, its successors, assigns and nominees to obtain patent protection for said improvements in all countries, the expenses incident to said applications to be borne and paid by said assignee.

I, as assignor, hereby assign to said assignee all of my right, title and interest in United States Provisional Application No. 60/545,703, filed February 18, 2004, and in the invention disclosed thereto in all countries of the world including the right to claim priority or benefit of said Application No. 60/545,703 pursuant to any law or treaty in the countries of the world.

And I do hereby authorize my attorneys to insert on this deed the filing date and application number of said application when known.

3/8/2005

(Date)

(Signature)

State of New Jersey ) SS:

County of Morris )

On this 8th day of March, 2005 before me personally came the above-named Fengnian Xia, to me personally known as the individual who executed the foregoing instrument, who acknowledged to me that the same was executed by him/her of his/her own free will for the purposes therein set forth.

(Notary Public)

☒ \*Total of 2 forms are submitted.

542313\_1.DOC

JOSEPH X. MONTEMARANO  
NOTARY PUBLIC OF NEW JERSEY  
Commission Expires 11/3/2006

PATENT

REEL: 016197 FRAME: 0140

former PTO/SB/15 (8-00) Modified LDL&amp;M

<b>ASSIGNMENT OF UTILITY APPLICATION</b>	Docket Number (Optional) <b>PRIN 3.0-008</b>
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Whereas, I, Stephen Forrest of  
148 Hunt Drive; Princeton, New Jersey 08540  
hereafter referred to as assignor, have with others invented certain new and useful improvements in  
POLARIZATION INSENSITIVE SEMICONDUCTOR OPTICAL AMPLIFIER  
☒ For which an application for a United States Letters Patent was filed on February 18, 2005  
☐ For which an application for a United States Letters Patent was executed by me \_\_\_\_\_  
And

Whereas, Trustees of Princeton University  
a corporation of \_\_\_\_\_ herein referred to as "assignee" whose mailing address is  
Princeton University; Princeton, New Jersey 08542  
is desirous of acquiring the entire right, title and interest in the same;

NOW, THEREFORE, in consideration of the sum of one dollars (\$ 1.00 ), the receipt whereof is acknowledged, and other good and valuable consideration, I as assignor hereby sell, assign and set over to said assignee my entire right, title and interest for the United States of America and all other countries in and to said invention and the aforesaid utility patent application and all original, divisional, continuation, continuation-in-part, substitute or reissue applications and patents applied for or granted therefor in the United States of America and all other countries, for said invention, including without limitation all applications and patents for said invention claiming priority or benefit of the aforesaid utility application pursuant to any law or treaty, and including the right to claim such priority or benefit and the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all patents on said improvements or resulting therefrom to said assignee herein, as assignee of the entire interest therein; and the undersigned for me and my legal representatives, heirs and assigns do hereby agree and covenant without further remuneration, to execute and deliver all original, divisional, continuation, reissue and other applications for Letters Patent on said improvements and all assignments thereof to said assignee or its assigns, to communicate to said assignee or its representatives all facts known to the undersigned respecting said improvements, whenever requested, to testify in any interferences or other legal proceedings in which any of said applications or patents may become involved, to sign all lawful papers, make all rightful oaths, and to do generally everything necessary to aid assignee, its successors, assigns and nominees to obtain patent protection for said improvements in all countries, the expenses incident to said applications to be borne and paid by said assignee.

I, as assignor, hereby assign to said assignee all of my right, title and interest in United States Provisional Application No. 60/545,703, filed February 18, 2004, and in the invention disclosed thereto in all countries of the world including the right to claim priority or benefit of said Application No. 60/545,703 pursuant to any law or treaty in the countries of the world.

And I do hereby authorize my attorneys to insert on this deed the filing date and application number of said application when known.

3/7/05 (Date) Stephen Forrest (Signature)

State of New Jersey ) SS:  
County of Morris )

On this 7<sup>th</sup> day of March, 2005 before me personally came the above-named Stephen Forrest, to me personally known as the individual who executed the foregoing instrument, who acknowledged to me that the same was executed by him/her of his/her own free will for the purposes therein set forth.

[Signature]  
(Notary Public)

☒ \*Total of 2 forms are submitted. 542313\_1.DOC

**JOSEPH X. MONTEMARANO**  
**NOTARY PUBLIC OF NEW JERSEY**  
Commission Expires 11/3/2007

**PATENT**
**RECORDED: 05/05/2005**
**REEL: 016197 FRAME: 0141**