

2/28/05

Form PTO-1595 (Rev. 06/04)
OMB No. 0651-0027 (exp. 6/30/2005)U.S. DEPARTMENT OF COMMERCE
Patent and Trademark OfficeRECORDATION
PAT

03-15-2005



To the Director of the U.S. Patent and Trademark Office

New address(es) below.

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

Prakash Gothoskar
Margaret Ghiron
Robert Keith Montgomery
Vipul Kumar Patel

Execution Date(s) 02/16/05, 02/16/05, 2/16/05, 2/16/05

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

3. Nature of conveyance:

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

102959307

2. Name and address or 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

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)

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

2/28/2005
DateWendy W. Koba
Name of Person Signing

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

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. 22313-1450113010 U.S. PTO
11/069852

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40.00 DP

05 FC:8021

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):

Kalpendu Shastri
Soham Pathak
Katherine A. Yanushefski

Execution Date(s) 2/16/05, 2/16/05, 2/16/05

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

3. Nature of conveyance:

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

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

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)

Additional numbers attached? ☐ Yes ☐ No

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

Name _____

Internal Address: _____

Street Address: _____

City _____

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

113010 U.S. PTO
11/069852



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 Breinigsville in the County of Lehigh and State of Pennsylvania, 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 **Active Manipulation Of Light In A Silicon-On-Insulator (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.

Prakash Gothoskar

Prakash Gothoskar

Date: February 16, 2005

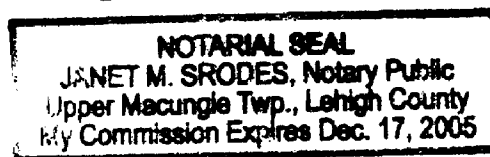
United States of America)

State of PA) ss.:

County of Lehigh)

On this 16th day of February, 2005, 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: February 16, 2005

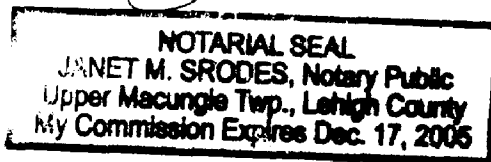
United States of America)

State of PA) ss.:

County of Lehigh)

On this 16th day of February, 2005, 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
Robert Keith Montgomery

Date: February 16, 2005

United States of America)

State of PA.) ss.:

County of Lehigh)

On this 16th day of February, 2005, 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: February 16, 2005

United States of America)

State of PA) ss.:

County of Lehigh)

On this 16th day of February, 2005, 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: February 16, 2005

United States of America)

State of PA.) ss.:

County of Lehigh)

On this 16th day of February, 2005, 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: February 16, 2005

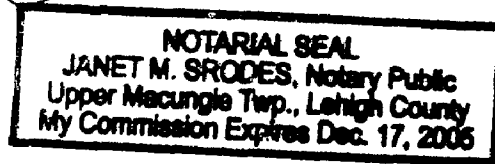
United States of America)

State of PA) ss.:

County of Lehigh)

On this 16th day of February, 2005, 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: February 16, 2005

United States of America)

State of PA) ss.:

County of Lehigh)

On this 16th day of February, 2005, 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

