

03-17-2005

RE



102961615

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):**

James Guenter  
Robert Hawthorne  
Jose Aizpuru

Execution Date(s) March 4, 2005

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: Finisar Corporation

Internal Address: \_\_\_\_\_

Street Address: 1308 Moffett Park Drive

City: Sunnyvale

State: CA

Country: USA Zip: 94089-1133

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)

03/09/2005 DTESSEM1 00000078 11071940

04 FC 8021

40.00 DP

Additional numbers attached? ☐ Yes ☒ No

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

Name: North Weber & Baugh LLP

Internal Address: \_\_\_\_\_

Street Address: 2479 E. Bayshore Road

City: Palo Alto

State: CA Zip: 94303

Phone Number: 650-856-7539

Fax Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

**6. Total number of applications and patents involved:**

1

**7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40**

- ☐ 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

March 4, 2005

Date

Michael North

Name of Person Signing

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

5

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

**PATENT**  
**REEL: 016358 FRAME: 0966**

**Title:** Photo-Imaged Management Layer for Semiconductor Devices  
**Inventors:** James Guenter, Robert Hawthorne, Jose Aizpuru  
**Filed:**  
**Serial Number:** Unassigned  
**Client Docket No.:** N/A  
**Attorney Docket No.:** 20014-1039

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## ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, the individual(s) named below (hereinafter "INVENTOR" whether singular or plural) has sold, assigned, transferred, and set over, and hereby sells, assigns, transfers and sets over, to Finisar Corporation, a corporation of the State of Delaware, having a place of business at 1308 Moffett Park Drive, Sunnyvale, CA 94089 ("ASSIGNEE"), for itself and its successors, transferees, and assignees, the following:

1. The full and exclusive worldwide right, title, and interest in and to all inventions and improvements ("SUBJECT MATTER") that are disclosed in the U.S. patent application, entitled "PHOTO-IMAGED STRESS MANAGEMENT LAYER FOR SEMICONDUCTOR DEVICES" ("APPLICATION"),

☐ which is a provisional application

- ☐ bearing Application No. \_\_\_\_\_, and filed on \_\_\_\_\_;  
☐ to be filed herewith; or

☒ which is a non-provisional application

- ☐ bearing Application No. \_\_\_\_\_, and filed on \_\_\_\_\_;  
☒ to be filed herewith;  
☒ having an oath or declaration executed on the same date as this Assignment;  
☐ having an oath or declaration executed on a different date than this Assignment.

2. The entire worldwide right, title, and interest in and to the APPLICATION and all applications claiming priority to the APPLICATION or having related SUBJECT MATTER to the APPLICATION, including all such utility, divisional, continuation, substitute, renewal, reissue or other related application and all rights of priority in the APPLICATION, together with all rights to recover damages for infringement of provisional rights.

INVENTOR hereby authorizes and requests the Director of the U.S. Patent and Trademark Office, and Patent Office Officials in all foreign countries, to issue to the ASSIGNEE any and all patents which may be granted from the APPLICATION.

INVENTOR will, without further consideration, communicate to the ASSIGNEE any facts known to the INVENTOR regarding the SUBJECT MATTER, testify in any legal proceeding, sign all lawful \_\_\_\_\_ paper  
s, execute all oaths, assignments, powers of attorney, applications and any other paper desired by ASSIGNEE to obtain, perfect, or secure to ASSIGNEE any and all of the rights, titles and interests herein conveyed, and to maintain, enforce, and defend these rights, titles and interests in

**Title:** Photo-Imaged Management Layer for Semiconductor Devices  
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**Attorney Docket No.:** 20014-1039

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the United States and all foreign countries. INVENTOR further agrees to provide any successor, assign, or legal representative of ASSIGNEE with the benefits and assistance provided to ASSIGNEE herein.

INVENTOR represents that the INVENTOR, at the time of the execution of this Assignment, is the sole and lawful owner of the entire rights, titles and interests in and to the SUBJECT MATTER as set forth in the APPLICATION, and that the SUBJECT MATTER is unencumbered, and that the INVENTOR has good and full right and lawful authority to sell and convey the SUBJECT MATTER in the manner herein set forth.

INVENTOR covenants with ASSIGNEE that the INVENTOR has not made and will not hereafter make any assignment, grant, mortgage, license or other agreement affecting the rights, titles, and interests herein conveyed.

INVENTOR agrees to, and hereby acknowledges, that the ASSIGNEE may apply for and receive patents related to the APPLICATION or SUBJECT MATTER.

INVENTOR grants the attorney of record for the APPLICATION the power to insert on this Assignment any further identification, including the application number and filing date, which may be necessary or desirable to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

This Assignment may be executed in one or more counterparts, each of which shall be deemed an original and all of which may be taken together as one and the same Assignment. Three inventor/assignor signature blocks are located on the following page.

Title: Photo-Imaged Management Layer for Semiconductor Devices  
Inventors: James Guenter, Robert Hawthorne, Jose Aizpuru  
Filed:  
Serial Number: Unassigned  
Client Docket No.: N/A  
Attorney Docket No.: 20014-1039

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INVENTOR Name: James Guenter  
INVENTOR Address: 214 Coral Ridge Drive  
Garland, TX 75044  
Date of Signature: 3/4/05



[INVENTOR Signature]

Witnessed by: Ralph H. Johnson  
Print Name

Signature: 

On \_\_\_\_\_, before me \_\_\_\_\_ personally appeared  
[Date] [Notary Public]

\_\_\_\_\_ personally known to me or proved to me on the basis of  
[INVENTOR]

satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledging to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument

\_\_\_\_\_  
Notary

Notary Seal

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**Inventors:** James Guenter, Robert Hawthorne, Jose Aizpuru  
**Filed:**  
**Serial Number:** Unassigned  
**Client Docket No.:** N/A  
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**INVENTOR Name:** Robert Hawthorne  
**INVENTOR Address:** 2602 Lancaster St.  
Garland, TX 75044  
**Date of Signature:** 3 MARCH 2005



[INVENTOR Signature]

**Witnessed by:** Marlys Hawthorne  
Print Name

**Signature:** Marlys Hawthorne

On \_\_\_\_\_, before me \_\_\_\_\_ personally appeared  
[Date] [Notary Public]

\_\_\_\_\_ personally known to me or proved to me on the basis of  
[INVENTOR]  
satisfactory evidence to be the person whose name is subscribed to the within instrument and  
acknowledging to me that [he/she] executed the same in [his/her] authorized capacity, and that  
by [his/her] signature on the instrument the person, or the entity upon behalf of which the person  
acted, executed the instrument

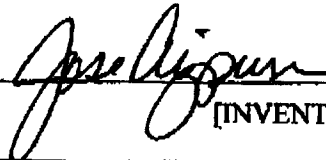
\_\_\_\_\_  
Notary

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**Serial Number:** Unassigned  
**Client Docket No.:** N/A  
**Attorney Docket No.:** 20014-1039

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**INVENTOR Name:** Jose Aizpuru  
**INVENTOR Address:** 1010 Westminster Ave.  
Murphy, TX 75094  
**Date of Signature:** 4 March 2005



[INVENTOR Signature]

**Witnessed by:** RICHARD L. BELL  
Print Name

**Signature:** 

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On \_\_\_\_\_, before me \_\_\_\_\_ personally appeared  
[Date] [Notary Public]

\_\_\_\_\_ personally known to me or proved to me on the basis of  
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satisfactory evidence to be the person whose name is subscribed to the within instrument and acknowledging to me that [he/she] executed the same in [his/her] authorized capacity, and that by [his/her] signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument

\_\_\_\_\_  
Notary

Notary Seal