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1. Name of conveying party(ies):  
**JOHANNES MICHAEL OSTERMANN AND PIERLUIGI DEBERNARDI**
2. Name and address of receiving party(ies):  
**ULM-PHOTONICS**  
**ALBERT-EINSTEIN-ALLEE 45**  
**89091 ULM, GERMANY**
3. Nature of conveyance:  
XXXX Assignment \_\_\_\_\_ Merger  
 \_\_\_\_\_ Security Agreement \_\_\_\_\_ Change of Name  
 \_\_\_\_\_ Other: \_\_\_\_\_  
 Execution Date: **January 26, 2005 and February 2, 2005**

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

A. Application/Patent No.  
**10/991,992**

B. Application/Issue Date  
**November 18, 2004**

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

Paul D. Greeley, Esq.  
 Ohlandt, Greeley, Ruggiero & Perle, L.L.P.  
 One Landmark Square, 10<sup>th</sup> Floor  
 Stamford, Connecticut 06901-2682 U.S.A.

6. Total No. of applications and patents involved: 1.

7. Total Fee (37 C.F.R. 3.41(h)) \$40.00/assignment.

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\_\_\_\_\_ Authorized to be charged to deposit account.

The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. 3.41 that may be required with this communication or credit any overpayment, to Deposit Account No. **01-0467**. A duplicate copy of this Form is enclosed.

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.

Charles N. J. Ruggiero  
 Name of Person Signing  
 Total number of pages including cover sheet (in duplicate) and attachments: 4.

Charles N. J. Ruggiero 4/7/05  
 Signature Date

PATENT

REFL: 016449 FRAME: 0613

04/12/2005 HMMZ11 00000046 10991992

01 FC:8021

(40.00 DP)

**ASSIGNMENT**

FOR valuable and legally sufficient considerations, receipt of which is hereby acknowledged, we, **Johannes Michael Ostermann**, a citizen of Germany, and a resident of Mähringer Weg 110/1, 89075 Ulm, Germany and **Pierluigi Debernardi**, a citizen of ~~Germany~~<sup>Italy</sup>, and a resident of Via Filadelfia 187, 10136 Torino, Italy; having co-invented certain new and useful improvements in

*Chen*

**Polarization Control Of Vertical Diode Lasers By A Monolithically Integrated Surface Grating**

hereby assign to **Ulm-Photonics**, a German corporation having its principal office at Albert-Einstein-Allee 45, 89091 Ulm, Germany (hereinafter referred to as "Assignee"), the entire right, title and interest in and to such invention, together with the patent rights and rights of protection to the same throughout the world, including any patent rights which may result from the application for United States Letters Patent which was filed in the United States Patent and Trademark Office on **November 18, 2004** and assigned **U.S. Application Serial No.10/991,992**. And any continuation, divisions, continuation-in-part applications, inventor's certificates and extensions thereof, preparatory to obtaining Letters Patent of the United States therefor; said invention, application and Letters Patent to be held and enjoyed by said Assignee for its own use and behoof and for the use and behoof of its successors and assigns, to the full end of the term for which said Letters Patent or other rights of protection may be granted as entirely as the same would have been held and enjoyed by us had the assignment not been made.

AND WE COVENANT and AGREE and WARRANT that we have full and unencumbered title to the invention hereby assigned, and we further covenant and agree that we have the right to grant such rights to said invention and application and Letters Patent and that we will, at any time upon request without cost to us or further compensation, execute and deliver any and all papers or instruments that, in the

opinion of the Assignee, may be necessary or desirable to secure said Assignee the full enjoyment of the rights and properties herein conveyed or intended to be conveyed by this instrument.

IN WITNESS WHEREFORE, we have hereunto set our hands and seal:

Date: 01/26/, 2005

By: Johannes Michael Ostermann

Date: 01/26/, 2005

Witness Signature

Roger King  
Witness Printed Name

Bohrweg 5  
Witness Address

89079 Ulm

Germany

Date: 02 Feb., 2005

By: Pierluigi Debernardi

Date: 02 Feb, 2005, 2005

Witness Signature

Michele GOANO  
Witness Printed Name

via BOSELLI, 5  
Witness Address

10135 TORINO

ITALY