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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.

1. Name of conveying party(ies)

International Business Machines Corporation

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

3. Nature of conveyance/Execution Date(s):

Execution Date(s) July 11, 2005

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

2. Name and address of receiving party(ies)

Name: Toppoly Optoelectronics Corporation

Internal Address: _____

Street Address: No. 12, Ke Jung Road, Science-Based
Industrial Park

City: Chunan 350, Miao Li County

State: _____

Country: Taiwan, R.O.C.

Zip: _____

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application or patent number(s):

A. Patent Application No.(s)

SEE ATTACHMENT EXHIBIT A

☒ This document is being filed together with a new application.

B. Patent No.(s)

SEE ATTACHMENT EXHIBIT A

Additional numbers attached? ☒ Yes ☐ No

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

Name: Wen Liu

Internal Address: LIU & LIU

Street Address: _____

444 S. Flower Street, Suite 1750

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Fax Number: (213) 830-5741

Email Address: wliu@llulaw.com

6. Total number of applications and patents involved: 38**7. Total fee (37 CFR 1.21(h) & 3.41)** \$ 1,520.00

- ☒ 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 5030
Expiration Date 11/2007

b. Deposit Account Number 501288

Authorized User Name Wen Liu

9. Signature:


Signature

July 18, 2005

Date

WEN LIU

Name of Person Signing

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

4

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

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PATENT
REEL: 016536 FRAME: 0563

OP \$1520.00 09162016

EXHIBIT A**ASSIGNED PATENTS AND PATENT APPLICATIONS (United States)**

<u>U.S. Patent Number</u>	<u>Issue Date</u>
5714838	1998-02-03
5734225	1998-03-31
5739545	1998-04-14
5767624	1998-06-16
5855994	1999-01-05
5895228	1999-04-20
5952778	1999-09-14
5998045	1999-12-07
6023073	2000-02-08
6157356	2000-12-05
6214151	2001-04-10
6316786	2001-11-13
6337381	2002-01-08
6432741	2002-08-13
6433355	2002-08-13
6433358	2002-08-13
6468590	2002-10-22
6501217	2002-12-31
6548961	2003-04-15
6552364	2003-04-22
6580090	2003-06-17
6580657	2003-06-17
6603149	2003-08-05
6627111	2003-09-30
6632695	2003-10-14
6723591	2004-04-20
6727645	2004-04-27
6731064	2004-05-04
6734505	2004-05-11
6734636	2004-05-11
6777712	2004-08-17
6847172	2005-01-25
6872974	2005-03-29

U.S. PATENT APPLICATION NUMBER

09/162,016

10/300,417

10/287,937

10/392,616

10/765,793

END OF EXHIBIT A

Form of Recordable Patent Assignment and Reservation

For good and valuable consideration, the receipt of which is hereby acknowledged, and subject to the reservations stated in the Patent Assignment Agreement Reference No. L044646 between the parties dated September 29, 2004, International Business Machines Corporation, a New York corporation having a place of business at Armonk, New York, (hereinafter "ASSIGNOR"), hereby grants and assigns to Toppoly Optoelectronics Corporation, a Taiwan Republic of China corporation having a place of business at No. 12, Ke Jung Road, Science-Based Industrial Park, Chunan 350, Miaoli County, Taiwan, R.O.C., (hereinafter "ASSIGNEE"), all of IBM's right, title and interest in and to the United States Letters Patents and United States Patent Applications Identified in Exhibit A hereto, (hereinafter "ASSIGNED PATENTS"), to have and to hold the same, unto ASSIGNEE for its own use and enjoyment and for the use and enjoyment of its successors and assigns, for the full term or terms of all such rights, subject to any rights, licenses, immunities or covenants not to sue granted under the ASSIGNED PATENTS to third parties by ASSIGNOR prior to the Effective Date set forth in the above identified Patent Assignment Agreement of September 29, 2004.

ASSIGNOR hereby reserves and retains, for the benefit of itself and its subsidiaries and its and their successors or assigns, the rights and licenses set forth in the above-identified Patent Assignment Agreement of September 29, 2004.

IN WITNESS WHEREOF, ASSIGNOR has caused this Patent Assignment and Reservation to be duly signed on its behalf.

Signature: 

Mark Petersen

Director of Finance, Technology & Intellectual Property

Date: 7/11/05

State of _____)
County of _____) S.S.

Before me this _____ day of _____, 20____, personally appeared _____, to me known to be the person who is described in and who signed the foregoing Assignment and acknowledged to me that he/she signed the same of his/her own free will for the purpose therein expressed.

Notary Public