

02-07-2006

To the Honorable Commissioner of Patents

and original documents or copy thereof.

1. Name of conveying party(ies):

Alan Lewis January 21, 2006  
Brad Cantos October 13, 2005  
Glen P. Carey October 18, 2005  
William R. Hitchens October 13, 2005  
Jason P. Watson October 13, 2005  
Aram Mooradian October 13, 2005

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other ( )

Execution Date: See above

2. Name and address of receiving party(ies)

Name: Novalux Inc.

Internal Address: 1220 Midas Way

Street Address: Sunnyvale

City: State: California Zip: 94085

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

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

11/194,077

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Cooley Godward LLP

Internal Address: Patent Group

Street Address: Five Palo Alto Square

3000 El Camino Real

City: Palo Alto State: CA Zip: 94306-2155

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 3.41)..... \$40.00

☒ Enclosed

☐ Authorized to be charged to deposit account

8. Deposit account number: 03-3117

The Commissioner is hereby authorized to charge any appropriate fees under 37 CFR 3.41 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 03-3117. This paper is submitted in duplicate.

DO NOT USE THIS SPACE

9. Statement and signature.

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.

Edward A. Van Gieson

Name of Person Signing

*Edward A. Van Gieson*

Signature

January 30, 2006

Date

Total number of pages including cover sheet, attachments, and documents: [7]

Mail documents to be recorded with required cover sheet information to:

Mail Stop Assignment Recodation Services, Director of the U.S. Patent and Trademark Office

P.O. Box 1450, Alexandria, VA 22313-1450

Express Mail Label Number: EV 525 576 353 US

Date of Deposit: January 30, 2006

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02/02/2006 MBERHE 00000002 11194077

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PATENT  
REEL: 017530 FRAME: 0421

Attorney Docket No: NOVX-004/03US

PATENT

**ASSIGNMENT  
(Joint)**

**Alan Lewis**, residing at **1610 South Mary Avenue, Sunnyvale, California 94087**; **Brad Cantos**, residing at **1881 Eighth Avenue, San Francisco, California 94122**, **Glen P. Carey**, residing at **642 Greer Road, Palo Alto, CA 94303**; **William R. Hitchens**, residing at **2160 Sunnyview Lane, Mountain View, California 94040**, **Jason P. Watson**, residing at **2266 Richland Avenue, San Jose, California 95125**; and **Aram Mooradian**, residing at **1101 Sir Francis Drake Boulevard, Kentfield, California 94904**; (each referred to as "Assignor") have made an invention(s) (the "Invention(s)") set forth in an application for patent of the United States, entitled

**APPARATUS, SYSTEM, AND METHOD FOR JUNCTION ISOLATION OF  
ARRAYS OF SURFACE EMITTING LASERS**

and which is a:

- (1) ☐ provisional application
  - (a) ☐ to be filed herewith; or
  - (b) ☐ bearing Application No. , and filed on ; or
- (2) ☒ non-provisional application
  - (a) ☐ to be filed herewith; or
  - (b) ☒ bearing Application No. **11/194,077**, and filed on **July 29, 2005**.

**WHEREAS**, **Novalux, Inc.**, a corporation duly organized under and pursuant to the laws of **Delaware**, and having its principal place of business at **1220 Midas Way, Sunnyvale, California 94085** (the "Assignee"), is desirous of acquiring the entire right, title, and interest in: the Invention(s); the application for patent identified in paragraph (1) or (2); the right to file applications for patent of the United States or other countries on the Invention(s); any application(s) for patent of the United States or other countries claiming priority to these application(s); any provisional or other right to recover damages, including royalties, for prior infringements of these applications; and any patent(s) of the United States or other countries that may be granted therefor or thereon.

**NOW, THEREFORE**, for good and sufficient consideration, the receipt of which is hereby acknowledged, and to the extent that the Assignor has not done so already via a prior agreement with the Assignee, or if the Assignor has already done so via a prior agreement with the Assignee then in confirmation of any obligation to do so in said prior agreement, the Assignor has sold, assigned, transferred, and set over, and by these presents does sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns, the Assignor's entire right, title, and interest in:

- (a) the Invention(s);
- (b) the application for patent identified in paragraph (1) or (2);

(c) the right to file applications for patent of the United States or other countries on the Invention(s), including all rights under the Paris Convention for the Protection of Industrial Property and under the Patent Cooperation Treaty;

(d) any application(s) for patent of the United States or other countries claiming the Invention(s);

(e) any application(s) for patent of the United States or other countries claiming priority to the application for patent identified in paragraph (1) or (2) or any application(s) for patent claiming the Invention(s), including any division(s), continuation(s), and continuation(s)-in-part; and

(f) any provisional or other right to recover damages, including royalties, for prior infringements of any application for patent identified in the proceeding paragraphs (b)-(e); and

(g) any patent(s) of the United States or other countries that may be granted for or on any application for patent identified in the preceding paragraphs (b) – (e), including any reissue(s) and extension(s) of said patent(s).

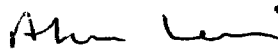
The above-granted rights, titles, and interests are to be held and enjoyed by the Assignee, for its own use and behalf and the use and behalf of its successors, legal representatives, and assigns, as fully and entirely as the same would have been held and enjoyed by the Assignor had this sale and assignment not been made.

The Assignor hereby represents to the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, or if applicable, at such time said prior agreement was executed, the Assignor is a lawful owner of an undivided interest in the entire right, title, and interest in and to the Invention(s), that the Invention(s) are unencumbered, except, if applicable, by obligation to assign in accordance with said prior agreement, and that the Assignor has good and full right and lawful authority to sell and convey the same in the manner set forth herein.

The Assignor hereby covenants and agrees to and with the Assignee, its successors, legal representatives, and assigns, that the Assignor will sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done in connection with any and all proceedings for the procurement, maintenance, enforcement and defense of the Invention(s), said applications, and said patents, including interference proceedings, without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns.

The Assignor hereby authorizes and requests the attorneys of COOLEY GODWARD L.L.P. to insert in the spaces provided above the filing date, the application number, and the attorney docket number of the application identified in paragraph (1) or (2) when known.

The Assignor hereby requests the Commissioner of Patents to issue said patents of the United States to the Assignee for the sole use and behalf of the Assignee, its successors, legal representatives, and assigns.

Date: 1-21-06By:   
**Alan Lewis**

Date: \_\_\_\_\_

By: \_\_\_\_\_  
**Brad Cantos**

Date: \_\_\_\_\_

By: \_\_\_\_\_  
**Glen P. Carey**

Date: \_\_\_\_\_

By: \_\_\_\_\_  
**William R. Hitchens**

Date: \_\_\_\_\_

By: \_\_\_\_\_  
**Jason P. Watson**

Date: \_\_\_\_\_

By: \_\_\_\_\_  
**Aram Mooradian**

Attorney Docket No: NOVX-004/03US

PATENT

## ASSIGNMENT

(Joint)

Alan Lewis, residing at 1610 South Mary Avenue, Sunnyvale, California 94087; Brad Cantos, residing at 1881 Eighth Avenue, San Francisco, California 94122; Glen P. Carey, residing at 642 Greer Road, Palo Alto, CA 94303; William R. Hitchens, residing at 2160 Sunnyview Lane, Mountain View, California 94040, Jason P. Watson, residing at 2266 Richland Avenue, San Jose, California 95125; and Aram Mooradian, residing at 1101 Sir Francis Drake Boulevard, Kentfield, California 94904; (each referred to as "Assignor") have made an invention(s) (the "Invention(s)") set forth in an application for patent of the United States, entitled

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- (1) ☐ provisional application
  - (a) ☐ to be filed herewith; or
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  - (a) ☐ to be filed herewith; or
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**NOW, THEREFORE**, for good and sufficient consideration, the receipt of which is hereby acknowledged, and to the extent that the Assignor has not done so already via a prior agreement with the Assignee, or if the Assignor has already done so via a prior agreement with the Assignee then in confirmation of any obligation to do so in said prior agreement, the Assignor has sold, assigned, transferred, and set over, and by these presents does sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns, the Assignor's entire right, title, and interest in:

- (a) the Invention(s);
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(d) any application(s) for patent of the United States or other countries claiming the Invention(s);

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(f) any provisional or other right to recover damages, including royalties, for prior infringements of any application for patent identified in the proceeding paragraphs (b)-(e); and

(g) any patent(s) of the United States or other countries that may be granted for or on any application for patent identified in the preceding paragraphs (b) – (e), including any reissue(s) and extension(s) of said patent(s).

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The Assignor hereby authorizes and requests the attorneys of COOLEY GODWARD L.L.P. to insert in the spaces provided above the filing date, the application number, and the attorney docket number of the application identified in paragraph (1) or (2) when known.

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Date: \_\_\_\_\_

By: \_\_\_\_\_

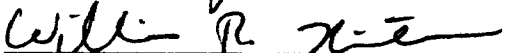
Alan Lewis

Date: 13 OCT 2005By: 

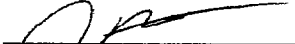
Brad Cantos

Date: 10/18/2005By: 

Glen P. Carey

Date: 13 Oct. 2005By: 

William R. Hitchens

Date: 10/13/05By: 

Jason P. Watson

Date: 10/13/05 By: 

Aram Mooradian