

03-21-2006

FORM PTO-1595
1-31-92

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U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Docket No. TDK -PAUS0003

103201908

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Adrian Lo (9/15/04), Makoto Sekijima (9/17/04), Kenjiro Hata (9/17/04), Tohru Kineri (9/17/04), Naoki Hanashima (9/17/04)

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

☐ Yes ☒ No

3. Nature of conveyance:

☐ Assignment (3 Pages)☐ Merger☐ Security Agreement☐ Change of Name☒ Other: Corrective assignment to correct the Assignor name, "Tohru", previously recorded on Reel 015913 Frame: 0802.

Execution Date: September 15 and 17, 2004

2. Name and address of receiving party:

Name: TDK Corporation

Internal Address: _____

City: _____ State: _____

Street Address: 1-13-1, Nihonbashi, Chuo-ku

City: Tokyo 103-8272 Country: Japan

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

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): 10/885,032

B. Patent No(s): _____

Additional numbers attached? ☐ Yes ☒ No

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

Name: Kevin Alan Wolff

Internal Address: Wolff Law Offices, PLLC
209 Providence Road
Chapel Hill, NC 27514
Te. 919-419-8582
Fax 919-419-8583

6. Total number of applications and patents involved: One

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

x Enclosed

☐ Charge this Deposit Account if any additional fee is required

8. Deposit Account Number:

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.

Kevin Alan Wolff, Reg. No. 42,233

Date: March 14, 2006

Total number of pages including cover sheet: Five(5)

OMB No. 0651-0011 (exp. 4/94)

Do not detach this portion

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

Director — U.S. Patent and Trademark Office

Box Assignments

Washington, D.C. 20231

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project, (0651-0011), Washington, D.C. 20503

beginning of March because the Notice was addressed incorrectly and sent to "200 Providence Road" instead of to our office at **209 Providence Road**. Further, you even misspelled my name as "Keyln" rather than **Kevin**. Due to these errors, we feel that the one month deadline of March 15, 2006 is not applicable because of the incorrect manner in which you addressed this notice. We believe that these errors are indicative of the poor customer service we have received.

We have been attempting to get this correction made since December and this will now be our fourth time submitting this information to the USPTO. Each time we have followed the instructions of your staff, but have yet had all errors corrected. In December, we were instructed by Steven Post to write the corrections that needed to be made on the Fax Cover re-submit the Notice of Recordation to the Assignment Division. After not receiving a response to our first request in December, we placed a call on February 7, 2006 to the Assignment Division of the USPTO requesting an update. We were then informed that our fax was not received and instructed to re-fax our request according to guidelines given to us by the examiner that addressed this phone call. These instructions are different, and seemingly incorrect, according to the recent Notice that we have received. We are now submitting this request according to your directions. However, we strongly feel that it is irresponsible of the Assignment Division to inform its clients of contradicting rules for submitting such a request and then insist that the information be resubmitted according to a different set of instructions. This process is not only time consuming, but confusing, tedious, and unnecessary. If there is one correct way to submit such a request, all examiners working in the Assignment Division need to be informed and aware that this procedure is the only way in which requests will be processed. This information should be clearly communicated to the customers (perhaps a one-sheet itemized listing of steps to take that can be faxed/mailed to the customer).

Finally, this Notice of Recordation contained errors that were our fault, as well as the fault of the USPTO. While we realize that it was on our original submission that this assignor's name was spelled incorrectly, the Doc. Dates for several of the assignor's were recorded incorrectly by the USPTO. These Doc. Dates have since been corrected and we feel that it is abominable that our mistake, which was brought to the Examiner's attention at the same time as the incorrect Doc. Dates, could not have been corrected at the same time. It would have been no inconvenience to your department or examiner as the document was being corrected anyways. Please explain why these errors were not corrected at the same time? Clearly, the USPTO is more concerned with being paid its \$40 fee (if one is really due in this case) than maintaining its level of accuracy, efficiency, timeliness, and customer service.

The corrections to the Notice of Recordation of Assignment in this case have taken way too much time! Please assist me in making sure the present requested corrections are made promptly and without further error. If you have any concerns with

this request to correct this Notice of Recordation, please contact me directly at (919) 419-8582.

Sincerely,

A handwritten signature in black ink, appearing to read 'KAW', is written above the printed name.

Kevin Alan Wolff
Reg # 42,233

Enclosures

ASSIGNMENT OF PATENT APPLICATION

WHEREAS, we, Adrian Lo, Makoto Sekijima, Kenjiro Hata, Tohru Kineri and Naoki Hanashima, all citizens of JAPAN (hereinafter referred to as "ASSIGNORS"), have invented a OPTICAL TRANSCEIVER AND OPTICAL MODULE USED IN THE SAME for which application for Letters Patent of the United States of America has been executed on ^{7/7/04}~~9/12/04~~ (or even date herewith); and

WHEREAS, TDK Corporation, a corporation organized and existing under and by virtue of the laws of JAPAN and having its place of business at 1-13-1, Nihonbashi, Chuo-ku, Tokyo 103-8272, JAPAN (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring the exclusive right, title and interest in, to and under said invention and in, to and under any Patent or similar legal protection to be obtained therefor in the United States of America, its territorial possessions and in any and all countries foreign thereto.

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign, transfer and set over unto the said ASSIGNEE, its successors and assigns, the full and exclusive right, title and interest to said invention and to all Letters Patent or application or similar legal protection, not only in the United States and its territorial possessions, but in all countries foreign thereto, to be obtained for said invention by said application, and to any continuation, division, renewal, substitute or reissue thereof or any legal equivalent thereof in the United States or a foreign country for the full term or terms for which the same may be granted, including all priority rights under the International Convention; and ASSIGNORS hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent or any legal equivalent thereof to said ASSIGNEE, its successors and assigns, in accordance with this Assignment.

ASSIGNORS hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this Agreement;

ASSIGNORS further covenant that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNORS and will testify as to the same in any interference or litigation related thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents in the United States or in any foreign country, which may be necessary or desirable to carry out the purposes thereof.

201	FULL NAME OF INVENTOR	FIRST Name Adrian	MIDDLE Initial	LAST Name Lo	
	RESIDENCE & CITIZENSHIP	City Tokyo	State or Foreign Country JAPAN	Country of Citizenship UNITED KINGDOM	
	POST OFFICE ADDRESS	TDK Corporation, 1-13-1, Nihonbashi, Chuo-ku	City Tokyo	State or Country JAPAN	Zip Code 103-8272
INVENTOR'S SIGNATURE <u>Adrian Lo</u> DATE <u>15th Sept. 2004</u>					

202	FULL NAME OF INVENTOR	FIRST Name Makoto	MIDDLE Initial	LAST Name Sekijima	
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	POST OFFICE ADDRESS	TDK Corporation, 1-13-1, Nihonbashi, Chuo-ku	City Tokyo	State or Country JAPAN	Zip Code 103-8272
INVENTOR'S SIGNATURE <u>Makoto Sekijima</u> DATE <u>September 17, 2004</u>					

203	FULL NAME OF INVENTOR	FIRST Name Kenjiro	MIDDLE Initial	LAST Name Hata	
	RESIDENCE & CITIZENSHIP	City Tokyo	State or Foreign Country JAPAN	Country of Citizenship JAPAN	
	POST OFFICE ADDRESS	TDK Corporation, 1-13-1, Nihonbashi, Chuo-ku	City Tokyo	State or Country JAPAN	Zip Code 103-8272
INVENTOR'S SIGNATURE <u>Kenjiro Hata</u> DATE <u>September 17, 2004</u>					

204	FULL NAME OF INVENTOR	FIRST Name Tohru	MIDDLE Initial	LAST Name Kineri	
	RESIDENCE & CITIZENSHIP	City Tokyo	State or Foreign Country JAPAN	Country of Citizenship JAPAN	
	POST OFFICE ADDRESS	Tokyo University of Science, Yamaguchi, 1-1-1, daigaku-dori, onoda-city	City Yamaguchi	State or Country JAPAN	Zip Code 756-0884
INVENTOR'S SIGNATURE <u>Tohru Kineri</u> DATE <u>September 17, 2004</u>					

205	FULL NAME OF INVENTOR	FIRST Name Naoki	MIDDLE Initial	LAST Name Hanashima	
	RESIDENCE & CITIZENSHIP	City Tokyo	State or Foreign Country JAPAN	Country of Citizenship JAPAN	
	POST OFFICE ADDRESS	TDK Corporation, 1-13-1, Nihonbashi, Chuo-ku	City Tokyo	State or Country JAPAN	Zip Code 103-8272
INVENTOR'S SIGNATURE <u>Naoki Hanashima</u> DATE <u>September 17, 2004</u>					