

09-27-2006

U.S. DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office



103313112

2006 SEP 25 PM 4:23

To the Director of the U.S. Patent and Trademark Office: Please record this document.

Documents or the new address (if any) below.

FINANCE SECTION

**1. Name of conveying party(ies)**

- 1) Wei Yang      4) Diana Liu  
2) Li Chen      5) William Yu  
3) Dejin Yu

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

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

Execution Date(s) 1) 09/18/2006 3) 09/17/2006 5) 09/13/2006  
2) 09/15/2006 4) 09/13/2006

- ☒ 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: BaySpec, Inc.

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

Street Address: 101 Hammond Avenue

City: Fremont

State: CA

Country: U.S.A. Zip: 94539

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)

10/346,718

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Carr & Ferrell LLP

Internal Address: Patent Department

Street Address: 2200 Geng Road

City: Palo Alto

State: CA Zip: 94303

Phone Number: (650) 812-3400

Fax Number: (650) 812-3444

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

**6. Total number of applications and patents involved:** 1

**7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40.00**

- ☐ 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 \_\_\_\_\_  
Expiration Date \_\_\_\_\_

b. Deposit Account Number 06-0600

Authorized User Name Robert D. Hayden

**9. Signature:**

09/26/2006 DBYRNE 00000021 10346718

Signature

September 21, 2006

Date

40.00 OF  
Robert D. Hayden, Reg. No. 42,645  
Name of Person Signing

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

3

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:  
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PATENT  
REEL: 018324 FRAME: 0455

## ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, we, the undersigned, **Wei Yang, Li Chen, Dejin Yu, Diana Liu, and William Yu**, do hereby sell, assign, and transfer to **BaySpec, Inc.**, a corporation with offices at **101 Hammond Avenue, Fremont, California 94539** ("Assignee"), and its successors, assigns, and legal representatives, the entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in United States patent application number **10/346,718** filed **January 15, 2003** and entitled:

### **"Microprocessor-Based Optical Signal Conditioner"**

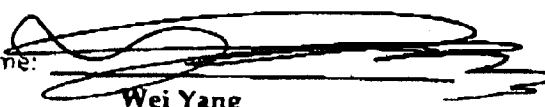
and in and to said application and all utility, divisional, continuing, substitute, renewal, reissue, and all other patent applications which have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States patent application; and

Agree that said Assignee may apply for and receive patents for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns, and representatives, all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which said Assignee, its

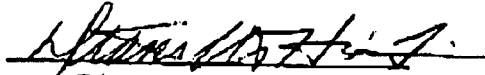
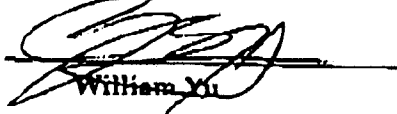
PA3585US

successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: 9/18/06Name:   
Wei YangDate: September, 15, 2006Name: 

Li Chen

Date: 17/09/006Name:   
Dejin YuDate: Sept 13, 2006Name:   
Diana LiuDate: Sept 13, 2006Name:   
William Yu

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

5

Application Number

10/346,718

Filing Date

January 15, 2003

First Named Inventor

Wei Yang

Art Unit

2633

Examiner Name

David J. Lee

Attorney Docket Number

PA3585US

**ENCLOSURES (Check all that apply)**☐ Fee Transmittal Form☒ Fee Attached☐ Amendment/Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☐ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Reply to Missing Parts/  
Incomplete Application☐ Reply to Missing Parts  
under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ Landscape Table on CD☐ After Allowance Communication to TC☐ Appeal Communication to Board  
of Appeals and Interferences☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please identify  
below):

1) Confirmation Postcard;

2) Assignment (2 pages);

3) PTO-1595 (in duplicate);

4) Check for \$40.00

**Remarks**

Total page number does not include postcard or check.

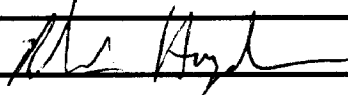
**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name

Carr &amp; Ferrell LLP

Cust. No. 22830

Signature



Printed name

Robert D. Hayden

Date

September 21, 2006

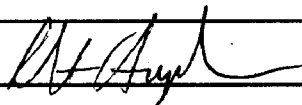
Reg. No.

42,645

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

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Typed or printed name

Robert D. Hayden, Reg. No. 42,645

Date

September 21, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**RECORDATION FORM COVER SHEET**  
**PATENTS ONLY**

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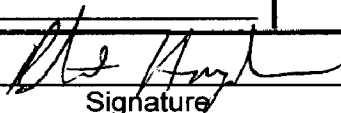
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Authorized User Name Robert D. Hayden

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Signature

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Robert D. Hayden, Reg. No. 42,645  
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