

07-30-2007

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



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To the Director of the U.S. Patent

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and documents or the new address(es) below

1. Name of conveying party(ies)

NanoOpto Corporation

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

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

Execution Date(s) July 19, 2007

- ☒ 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: API Nanofabrication and Research Corporation

Internal Address: _____

Street Address: 1600 Cottontail Lane

City: Somerset

State: New Jersey

Country: USA Zip: 08873

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)

US20050084613, US20040258355, US20040218270,
US20040047638, US20040047388, US20040047039,
US20050180014, US20050181128, US20050275944,
US20050277063, US20060001969, 11/265,813, 11/300,887,

B. Patent No.(s)

US6,920,272, US6,859,303, US7,099,068, US6,876,784,
US7,227,684, US7,050,233, US7,013,064, US7,203,001,
US7,142,375

Additional numbers attached? ☒ Yes ☐ No

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

Name: Andrew Abrams

Internal Address: Sugar, Friedberg & Felsenthal LLP

Street Address: 30 North LaSalle Street, Suite 3000

City: Chicago

State: Illinois Zip: 60602

Phone Number: 312-704-9400

Fax Number: 312-372-7951

Email Address: aabrams@sff-law.com

6. Total number of applications and patents involved: 33

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 1,320.00

- ☐ 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 _____

Authorized User Name _____

9. Signature:

Signature

Andrew Abrams Attorney

Name of Person Signing

Date

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

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

07/27/2007 14:14:14
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REGISTERED PATENTS AND APPLICATIONS

Patent Application Nos.:

11/378,230, 11/381,949, 11/598,494, 60/837,829, 60/833,194, 60/815,651, 11/588,119,
11/304,087, 60/819,975, 60/925,728, 60/842,928

ASSIGNMENT OF PATENTS

This ASSIGNMENT OF PATENTS, dated July 19, 2007 ("Assignment"), is by and between API Nanofabrication and Research Corporation, a Delaware corporation ("Assignee"), and NanoOpto Corporation, a Delaware corporation ("Assignor").

W I T N E S S E T H

WHEREAS, Assignor is the owner of the patents, patent applications and utility models listed on Attachment 1 hereto, which are either issued or pending, respectively, in the United States Patent and Trademark Office (collectively, the "Patents"); and

WHEREAS, Assignor and Assignee are parties to that certain Asset Purchase Agreement, dated as of July 17, 2007 (the "Asset Purchase Agreement"), pursuant to which Assignor has agreed to sell to Assignee and Assignee has agreed to purchase from Assignor the Patents, among other assets.

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, Assignor does hereby assign, transfer, set over, and deliver to Assignee all of Assignor's right, title, and interest in and to the Patents together with (i) all Patents granted on any applications included in the Patents, all continuations, continuations-in-part, divisionals, reissues and re-examinations of said Patents, (ii) all causes of actions, claims and demands or other rights for, or arising from any infringement, including past infringement, of the Patents, all upon the terms and subject to the conditions set forth in the Asset Purchase Agreement, and (iii) all rights corresponding thereto throughout the world.

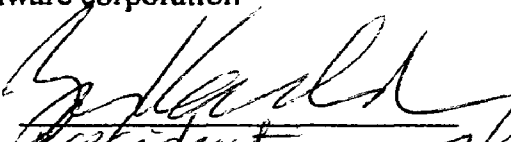
Assignor further agrees, without further consideration, to cause to be performed such lawful acts and to be executed such further assignments and other lawful documents as Assignee may reasonably request to effectuate fully this Assignment and to permit Assignee to be duly recorded as the registered owner and proprietor of the rights hereby conveyed.

[Remainder of Page Intentionally Left Blank]

IN WITNESS WHEREOF, the undersigned has caused this Assignment to be executed by the signature of its duly authorized officer as of the date above first written.

NANOOPTO CORPORATION,
a Delaware corporation

By:


President, 2/17/07

Acknowledged and Accepted:

API NANOFABRICATION AND RESEARCH CORPORATION, a
Delaware corporation

By: _____

Its: _____

IN WITNESS WHEREOF, the undersigned has caused this Assignment to be executed by the signature of its duly authorized officer as of the date above first written.

NANOOPTO CORPORATION,
a Delaware corporation

By: _____
_____, _____

Acknowledged and Accepted:

API NANOFABRICATION AND RESEARCH CORPORATION, a
Delaware corporation

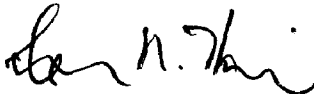
By: Thomas W. Miller

Its: V.P. See

STATE OF New Jersey)
COUNTY OF Morris) SS.
)

I, a notary public, in and for the county and state aforesaid, do hereby certify that Berry Kellard, personally known to me to be President, appeared before me this day in person and acknowledged that he signed the above and foregoing instrument as his free and voluntary act for the uses and purposes therein set forth.

IN WITNESS WHEREOF, I have hereunto set my hand and notarial seal this 17th day of July, 2007.


Notary Public

My commission expires: _____

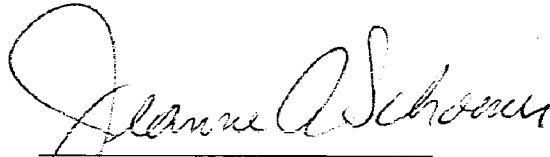
CHRISTOPHER A. KINN
ID # 2351500
NOTARY PUBLIC OF NEW JERSEY
Commission Expires 10/23/2011

STATE OF
COUNTY OF

)
) SS.
)

I, a notary public, in and for the county and state aforesaid, do hereby certify that Thomas Millb personally known to me to be the VP Sec of API Nanofabrication and Research corporation, a Delaware corporation, appeared before me this day in person and acknowledged that he signed the above and foregoing instrument as his free and voluntary act and as the free and voluntary act of said corporation pursuant to authority granted to him by the board of directors of said corporation for the uses and purposes therein set forth.

20th IN WITNESS WHEREOF, I have hereunto set my hand and notarial seal this day of July, 2007.


Notary Public

My commission expires: 10/31/10

JEANNE A. SCHOSNER
NOTARY PUBLIC, State of New York
No. 5035252
Qualified in Nassau County
Commission Expires October 31, 2010

ATTACHMENT 1 TO ASSIGNMENT OF PATENTS

REGISTERED
PATENTS AND APPLICATIONS

<u>Patent</u>	<u>Patent No. /</u> <u>(App. No.)</u>	<u>Issued /</u> <u>(Date App.)</u>
Monolithic tunable lasers and reflectors	US6,920,272	July 19, 2005
Optical components exhibiting enhanced functionally and method of making the same	US6,859,303	February 22, 2005
Optical components exhibiting enhanced functionally and method of making the same	US7,099,068	August 29, 2006
Optical polarization beam combiner/splitter	US6,876,784	April 5, 2005
Method and system for providing beam polarization	US7,227,684	June 5, 2007
Precision phase retardation devices and method of making same	US7,050,233	May 23, 2006
Freespace tunable optoelectronic devise and method	US7,013,064	March 14, 2006
Optical retarders and related devices and systems	US7,203,001	April 10, 2007
Films for optical use and methods of making such films	US7,142,375	November 28, 2006
Sub-micron-scale patterning method and system	(US20050084613)	(August 19, 2004)

Micro-structure induced birefringent waveguiding divces and methods of making same	(US20040258355)	(June 17, 2003)
Universal broadband polarizer, devices incorporating same and method of making same	(US20040218270)	(February 10, 2004)
Method and system for performing wavelength locking of an optical transmission source	(US20040047638)	(June 17, 2003)
Optical device and method for making same	(US20040047388)	(June 17, 2003)
Wide angle optical device and method for making same	(US20040047039)	(June 17, 2003)
Films for optical use and methods of making such films	(US20050180014)	(May 10, 2004)
Films for optical use and methods of making such films	(US20050181128)	(May 10, 2004)
Optical films and methods of making the same	(US20050275944)	(June 11, 2004)
Optical films and methods of making the same	(US20050277063)	(May 27, 2005)
Gratings, related optical devices and systems, and methods of making such gratings	(US20060001969)	(November 15, 2004)
Structures for polarization and beam control	(11/265,813)	(November 3, 2005)

Optical Retarders and Methods of Making the Same	(11/300,887)	(December 15, 2005)
Polarizer films and methods of making the same	(11/378,230)	(March 17, 2006)
Device and Method of Forming Nanoimprinted Structures	(11/381,949)	(May 5, 2006)
Lens arrays and methods of making the same	(11/598,494)	(November 13, 2006)
Methods for forming patterned structures	(60/837,829)	(August 15, 2006)
Polarizer films and methods of making the same (ICE polarizer)	(60/833,194)	(April 10, 2007)
Encapsulated wire-grid polarizer and method of fabrication	(60/815,651)	(June 23, 2006)
Oxide materials, articles, systems and methods	(11/588,119)	(October 26, 2006)
Multilayer retarder	(11/304,087)	(December 15, 2005)
Nanowire-grid polarimeter	(60/819,975)	(July 10, 2006)
Polarizer elements and systems using the same	(60/925,728)	(April 23, 2007)
Multilayer wire-grid polarization devices, method of fabrication, and system using the same	(60/842,928)	(September 7, 2006)