

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: YA-HONG XIE; BIN SHI
Serial No.: 11/871,024
Filed: OCTOBER 11, 2007
For: OPTICAL TRANSCEIVER INTEGRATABLE WITH SILICON VLSI
Group:
Examiner:
Docket No.: UC03-155-2US

MAIL STOP ASSIGNMENT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

ASSIGNMENT RECORDATION COVER LETTER**PATENT OR PATENT APPLICATION****1. NAMES OF PARTY(IES) MAKING TRANSFER**

Name 1: YA-HONG XIE

Name 2: BIN SHI

2. IDENTITY OF PARTY(IES) TO WHOM TRANSFER IS MADE

This transfer is being made to:

Name: THE REGENTS OF THE UNIVERSITY OF CALIFORNIA
Address: 1111 FRANKLIN STREET, 12TH FLOOR
OAKLAND, CA 94607-5200

3. INTENTION OF DOCUMENT

A brief description of what the accompanying document intends to accomplish is that it is an:

- ☒ Assignment
☐ License
☐ Security Interest
☐ Other

CH \$40.00 071137 11871024

4. IDENTIFICATION OF PATENT OR APPLICATION

Particulars of the patent or application to which the accompanying document applies are:

Inventor(s): YA-HONG XIE; BIN SHI

For (title): OPTICAL TRANSCEIVER INTEGRATABLE WITH SILICON VLSI

(a) ☐ U.S. patent application filed herewith.

(b) ☒ U.S. patent application serial no. 11/871,024 filed on October 11, 2007.

(c) ☐ U.S. patent no. _____ issued _____.

5. NAME AND ADDRESS TO WHICH CORRESPONDENCE SHOULD BE MAILED

Please address all correspondence and return the recorded document to:

John P. O'Banion
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814

6. NUMBER OF APPLICATIONS OR PATENTS IDENTIFIED AND TOTAL FEE DUE

The number of applications or patents identified herein is: 1

Total Fee Due \$ 40.00

7. DATE DOCUMENT WAS EXECUTED

The accompanying document was executed on: November 7, 2007.

8. FEE PAYMENT

Fee payment is provided for as follows:

☐ Attached is a check in the sum of

☐ Charge Account No. _____ if any additional fee is due.

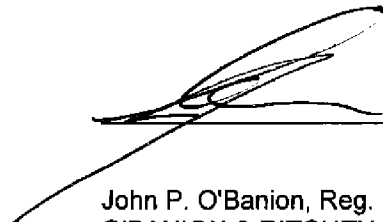
☒ Charge Account No. 07-1137 in the sum of \$40.

9. **STATEMENT OF AUTHENTICITY**

The undersigned certifies that, to the best of his or her knowledge and belief, the information contained in this cover sheet is true and correct, and any copy of the document submitted for recording is a true copy of the original document.

10. **SIGNATURE**

Dated: 11/14/07



John P. O'Banion, Reg. No. 33,201
O'BANION & RITCHEY LLP
400 Capitol Mall, Suite 1550
Sacramento, CA 95814
(916) 498-1010

PATENTAttorney Docket No. UC03-155-2US**ASSIGNMENT**

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

Name: YA-HONG XIE
Address: 200 SOUTH ALMONT DRIVE
BEVERLY HILLS, CA 90211

Nationality: US CITIZEN

Name: BIN SHI
Address: 3170 SAWTELLE BLVD., APT. 308
LOS ANGELES, CA 90066

Nationality: CITIZEN OF PR CHINA

hereby sell(s), assign(s) and transfer(s) to ASSIGNEE:

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA, A CALIFORNIA CORPORATION, 1111
FRANKLIN STREET, 12th Floor, OAKLAND, CA 94607-5200,

and the successors, assigns and legal representatives of the ASSIGNEE, the entire right, title and interest for the United States and its territorial possessions and in all foreign countries, including all rights to claim priority, in and to any and all improvements which are disclosed in the invention entitled:

OPTICAL TRANSCEIVER INTEGRATABLE WITH SILICON VLSI

and which is found in

- (a) ☐ U.S. provisional patent application filed herewith and listing the above named person(s) as inventor(s).
- (b) ☐ U.S. patent application filed herewith listing the above named person(s) as inventor(s).
- (c) ☒ U.S. patent application serial no. 11/871,024, filed on October 11, 2007.
- (d) ☐ U.S. Patent No.: _____, issued _____.

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said Invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating 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 or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and

requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known;

ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, the Regents of the University of California;

And ASSIGNOR(S) request(s) and hereby authorize their attorney(s) of record in this application to insert the execution date, serial number and filing date of this application in this Assignment.

Date: 11/05/2007

Inventor:


YA-HONG XIE

Date: _____

Inventor:

BIN SHI

requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known;

ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, the Regents of the University of California;

And ASSIGNOR(S) request(s) and hereby authorize their attorney(s) of record in this application to insert the execution date, serial number and filing date of this application in this Assignment.

Date: _____

Inventor: _____

YA-HONG XIE

Date: 11/07/2007

Inventor: _____


BIN SHI