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R SHEET

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Patent and Trademark Office

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To the Director of the United States

103606799

the attached documents or the new address(es) below.

1. Name of conveying party(ies):

Tomoaki KATO

2. Name and address of receiving party(ies):

Name: NEC Corporation

Address: 7-1, Shiba 5-chome, Minato-ku

Additional names(s) of conveying party(ies)

☐ Yes ☒ No

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

Execution Date(s): September 7, 2010

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Joint Research Agreement
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License
☐ Other

City: Tokyo

State/Prov.:

Country: Japan

ZIP: 1088001

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

4. Application or patent numbers(s):

A. Patent Application No. (s)

☒ This document is being filed together with a new application.

B. Patent No.(s)

12736127

Additional numbers attached? ☐ Yes ☒ No

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

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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

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Authorized User Name Sean M. McGinn

9. Signature:



Signature

September 13, 2010

Date

Sean M. McGinn, Esq.

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PATENT
REEL: 024981 FRAME: 0960

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ASSIGNMENT OF APPLICATION FOR PATENT

WHEREAS

NAME AND ADDRESS
OF ASSIGNOR

Tomoaki KATO
c/o NEC Corporation,
7-1, Shiba 5-chome, Minato-ku, Tokyo 1088001, Japan

(HEREINAFTER REFERRED TO AS ASSIGNOR), have
invented and own a certain new and useful invention
entitled:

TITLE OF INVENTION:

WAVEGUIDE-TYPE SEMICONDUCTOR OPTICAL
MODULATOR AND METHOD FOR MANUFACTURING
THE SAME

WHEREAS

FULL NAME AND ADDRESS
OF ASSIGNEE

NEC Corporation
7-1, Shiba 5-chome, Minato-ku, Tokyo 1088001, Japan

(hereinafter referred to as ASSIGNEE), is desirous of
acquiring the entire right, title, and interest in, to and under
said invention and the United States Letters Patent to be
obtained therefor:

NOW THEREFORE, TO ALL WHOM IT MAY CONCERN: Be
it known that in consideration of the payment of ASSIGNEE
to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt
of which is hereby acknowledged, and for other good and
valuable consideration, ASSIGNOR, by these presents,
hereby sells, assigns and transfers to ASSIGNEE the entire
and exclusive right, title and interest to said invention and
all Letters Patent of the United States to be obtained
therefor on said application or any continuation, division,
renewal, substitute or reissue thereof for the full term or
terms for which the same may be granted.

ASSIGNOR hereby authorizes and requests the
Commissioner of Patents and Trademarks to issue said
Letters Patent of the United States Patent obtained therefor on
said application or any continuation, division, renewal,
(Assignment of Application for Patent -- page 1 of 2)

substitute or reissue thereof for the full term or terms to said ASSIGNEE, of the entire right, title, and interest in and to the same, for his sole use and behoof, and for the use and behoof of his legal representatives, to the full end of the term or terms for which said Letters Patent obtained therefor on said application or any continuation, division, renewal, substitute or reissue thereof for may be granted, as full and entirely as the same would have been held by ASSIGNOR had this assignment and sale not been made.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale;

ASSIGNOR further covenants 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 as may be known and accessible to ASSIGNOR 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 and enforce said application, said invention and said Letters Patent which may be necessary or desirable to carry out the purposes hereof.

DATE OF SIGNING

IN WITNESS WHEREOF, I/We have hereunto set

hand and seal this 7th day of September, 2010.

SIGNATURE

By: Tomoaki Kato 
Tomoaki KATO

SIGNATURE

By: _____

WITNESSES

Masato Kuma
Heidi Kuma

(Assignment of Application for Patent -- page 2 of 2)