

## PATENT ASSIGNMENT

Electronic Version v1.1  
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SUBMISSION TYPE:	NEW ASSIGNMENT										
NATURE OF CONVEYANCE:	ASSIGNMENT										
CONVEYING PARTY DATA											
<table border="1"> <thead> <tr> <th>Name</th> <th>Execution Date</th> </tr> </thead> <tbody> <tr> <td>Jongik Won</td> <td>01/03/2013</td> </tr> <tr> <td>Hsiang En Tseng</td> <td>02/13/2013</td> </tr> <tr> <td>Luis Martinez</td> <td>01/25/2013</td> </tr> <tr> <td>Anthony J. Ticknor</td> <td>01/25/2013</td> </tr> </tbody> </table>		Name	Execution Date	Jongik Won	01/03/2013	Hsiang En Tseng	02/13/2013	Luis Martinez	01/25/2013	Anthony J. Ticknor	01/25/2013
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Jongik Won	01/03/2013										
Hsiang En Tseng	02/13/2013										
Luis Martinez	01/25/2013										
Anthony J. Ticknor	01/25/2013										
RECEIVING PARTY DATA											
Name:	NeoPhotonics Corporation										
Street Address:	2911 Zanker Road										
Internal Address:	Intellectual Property Department										
City:	San Jose										
State/Country:	CALIFORNIA										
Postal Code:	95134										
PROPERTY NUMBERS Total: 1											
<table border="1"> <thead> <tr> <th>Property Type</th> <th>Number</th> </tr> </thead> <tbody> <tr> <td>Application Number:</td> <td>13728966</td> </tr> </tbody> </table>		Property Type	Number	Application Number:	13728966						
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Application Number:	13728966										
CORRESPONDENCE DATA											
Fax Number:	4084562979										
<i>Correspondence will be sent via US Mail when the fax attempt is unsuccessful.</i>											
Phone:	408 321-5060										
Email:	bderuyter@neophotonics.com										
Correspondent Name:	Barbara deRuyter										
Address Line 1:	2911 Zanker Road										
Address Line 2:	Intellectual Property Department										
Address Line 4:	San Jose, CALIFORNIA 95134										
ATTORNEY DOCKET NUMBER:	F0010 67-004										
NAME OF SUBMITTER:	Barbara deRuyter										

CH \$40.00 13728966

This document serves as an Oath/Declaration (37 CFR 1.63).

**Total Attachments: 14**

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**ASSIGNMENT STATEMENT**

Oath/Declaration Statement Included

WHEREAS, the undersigned (hereinafter termed Assignor(s)) has/have invented certain new and useful improvements in

**INTEGRATED CIRCUIT COUPLING SYSTEM WITH WAVEGUIDE CIRCUITRY  
AND METHOD OF MANUFACTURE THEREOF**

for which a United States patent application has been executed on or before the date of this assignment.

WHEREAS, NeoPhotonics Corporation, a Corporation of the State of Delaware, having a place of business at 2911 Zanker Road, San Jose, CA 95134, (hereinafter termed Assignee), is desirous of acquiring the entire right, title and interest in and to said application and said invention and improvements thereon, and in and to Letters Patents thereon when granted in the United States and foreign countries.

NOW, THEREFORE, for good and valuable consideration received by said Assignor(s) from said Assignee(s), the receipt of which is hereby acknowledged by said Assignor(s):

1. Said Assignor(s) hereby state that I/we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.
2. Said Assignor(s) does not know/do not know and does not believe/do not believe the same was ever known or used in the United States of America before this invention thereof or more than one year prior to this application, and that the same was not in public use or on sale in the United States of America more than one year prior to this application. I acknowledge the duty to disclose information which is known to me to be material to patentability in accordance with title 37, Code of Federal Regulations, section 1.56.
3. Said Assignor(s) does hereby sell, assign, transfer and convey unto said Assignee(s), the entire right, title and interest in and to said application and said invention and in and to any and all improvements on said invention and in and to any and all improvements on said invention heretofore or hereafter made or acquired by said Assignor(s); and in and to any and all Letters Patent on said invention and/or said improvements that may be granted in the United States or any foreign country, including each and every Letters Patent granted on any application which is a division, continuation, substitution, renewal, or continuation-in-part of any said application, and in and to each and every reissue or extension of said Letters Patent.
4. Said Assignor(s) hereby covenants and agrees to cooperate with said Assignee(s) where said Assignee(s) may enjoy to the fullest extent the right, title and interest herein conveyed. Such cooperation shall include (a) prompt execution of all papers (prepared at the expense of Assignee(s)) which are deemed necessary or desirable by Assignee(s) to perfect in it the right, title and interest herein conveyed, (b) prompt execution of all petitions, oaths, specifications or other papers (prepared at the expense of Assignee(s)) which are deemed necessary or desirable by Assignee(s) for prosecuting said application, for filing and prosecuting divisional, continuation, substitution, renewal, continuation-in-part, or additional applications in the United States and/or foreign countries covering said invention and/or said improvements, for filing and prosecuting applications for reissuance of letters patent included herein, or for interference proceedings involving said invention and/or said improvements and (c) prompt assistance and cooperation in the prosecution of interference proceedings involving said invention and/or said improvements and in the adjudication of said Letters

Patent, particularly by the disclosure of facts and the production of evidence relating to said invention and/or said improvements, provided the expenses which may be incurred by said Assignor(s) in lending such assistance and cooperation shall be paid by the Assignee(s).

5. The terms, covenants and conditions of this assignment shall inure to the benefit of said Assignee(s), its successors, assigns and/or other legal representatives and shall be binding upon said Assignor(s), his/her heirs, legal representatives and assigns.

6. Said Assignor(s) hereby warrants and represents that he/she has not entered into any assignment, contract or understanding in conflict herewith.

**Authorization to Permit Access To Application by Participating Office**

If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the above-identified patent application is filed access to the above-identified patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the above-identified patent application is filed to have access to the above-identified patent application.

In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the above-identified patent application with respect to: 1) the above-identified patent application –as-filed; 2) any foreign application to which the above-identified patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the above-identified patent application; and 3) any U.S. application-as-filed form which benefit is sought in the above-identified patent application.

In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing the Authorization to Permit Access to Application by Participating Offices.

7. Said Assignor(s) hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor’s certificate, or Section 365(a) of any PCT international application which designated at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor’s certificate having a filing date before that of the application on which priority is claimed:

**Prior Foreign Application(s):**

<u>Number</u>	<u>Country</u>	<u>Day/Month/Year filed</u>	<b>Priority Claimed</b>	
			<u>Yes</u>	<u>No</u>

8. Said Assignor(s) hereby claim the benefit under 35 USC 119(e) of any United States provisional application(s) listed below:

**Prior Provisional Application(s):**

<u>Serial No.</u>	<u>Filing Date</u>
61/580,649	12/27/2011

9. Said Assignor(s) hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or Section 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

**Prior U.S. Application(s):**

<u>Serial No.</u>	<u>Filing Date</u>

10. And we/I hereby authorize and request our/my attorney(s) of record in this application to insert the serial number and filing date of this document in the spaces that follow:

<u>Serial No.</u>	<u>Filing Date</u>
13/728,966	December 27, 2012

The above-identified application was made or authorized to be made by the Assignor(s), who believe(s) that I am/we are the original inventor(s) or an original joint inventor(s) of a claimed invention in the application.

Said Assignor(s) hereby acknowledge that any willful false statement made in this Assignment is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.

IN WITNESS WHEREOF, the said Assignor(s) has executed this instrument on the date of acknowledgement before the Notary Public as given below and delivered this instrument to said Assignee(s).

Inventor's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of inventor: Jongik Won

Citizenship: US

Residence Address: 1609 Holly Circle  
Pleasanton, CA 94566

P.O. Address: Same as Residence

State of \_\_\_\_\_ }  
County of \_\_\_\_\_ } ss

On \_\_\_\_\_ before me, \_\_\_\_\_,  
*(name and title of officer)*

personally appeared Jongik Won, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

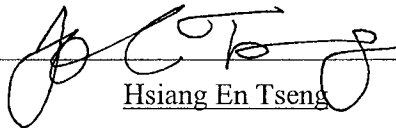
WITNESS my hand and official seal.

Signature \_\_\_\_\_

The above-identified application was made or authorized to be made by the Assignor(s), who believe(s) that I am/we are the original inventor(s) or an original joint inventor(s) of a claimed invention in the application.

Said Assignor(s) hereby acknowledge that any willful false statement made in this Assignment is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both..

IN WITNESS WHEREOF, the said Assignor(s) has executed this instrument on the date of acknowledgement before the Notary Public as given below and delivered this instrument to said Assignee(s).

Inventor's signature:  Date: 2-13-2013  
 Full name of inventor: Hsiang En Tseng  
 Citizenship: US  
 Residence Address: 10801 Gascoigne Dr.  
Cupertino, California 95014  
 Post Office Address: Same as Residence


State of CALIFORNIA  
 County of SANTA CLARA } ss

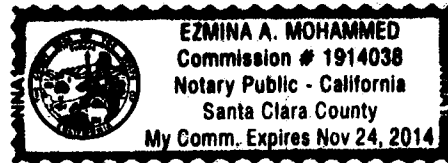
On FEBRUARY 13th, 2013 before me, EZMINA A. MOHAMMED, Notary Public  
HSIANG EN TSENG (name and title of officer)

personally appeared ~~I~~ HSIANG EN TSENG, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/~~is~~ subscribed to the within instrument and acknowledged to me that he/~~she~~/they executed the same in his/~~her~~/their authorized capacity(ies), and that by his/~~her~~/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature 



The above-identified application was made or authorized to be made by the Assignor(s), who believe(s) that I am/we are the original inventor(s) or an original joint inventor(s) of a claimed invention in the application.

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IN WITNESS WHEREOF, the said Assignor(s) has executed this instrument on the date of acknowledgement before the Notary Public as given below and delivered this instrument to said Assignee(s).

Inventor's signature: Luis Martinez Date: 1/25/13

Full name of inventor: Luis Martinez

Citizenship: US

Residence Address: 1372 Vancouver Way  
Livermore, California 94550

Post Office Address: Same as Residence

State of CALIFORNIA  
County of SANTA CLARA } ss

On JANUARY 25, 2013 before me, EZMINA A. MOHAMMED, Notary Public  
(name and title of officer)

personally appeared Luis Martinez, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature Ezmina A. Mohammed





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IN WITNESS WHEREOF, the said Assignor(s) has executed this instrument on the date of acknowledgement before the Notary Public as given below and delivered this instrument to said Assignee(s).

Inventor's signature: *Anthony J. Ticknor* Date: 1/25/13  
 Full name of inventor: Anthony J. Ticknor  
 Citizenship: US  
 Residence Address: 10952 Barranca Dr.  
Cupertino, CA 95014  
 Post Office Address: Same as Residence

State of CALIFORNIA  
 County of SANTA CLARA } ss

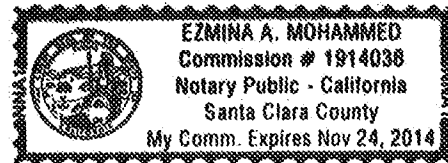
On JANUARY 25, 2013 before me, ~~RAFIK~~ EZMINA A. MOHAMMED, Notary Public  
 (name and title of officer)

personally appeared Anthony J. Ticknor, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/his/their authorized capacity(ies), and that by his/his/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature *Ezmina A. Mohammed*



**ASSIGNMENT STATEMENT**

Oath/Declaration Statement Included

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**INTEGRATED CIRCUIT COUPLING SYSTEM WITH WAVEGUIDE CIRCUITRY  
AND METHOD OF MANUFACTURE THEREOF**

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NOW, THEREFORE, for good and valuable consideration received by said Assignor(s) from said Assignee(s), the receipt of which is hereby acknowledged by said Assignor(s):

1. Said Assignor(s) hereby state that I/we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.
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3. Said Assignor(s) does hereby sell, assign, transfer and convey unto said Assignee(s), the entire right, title and interest in and to said application and said invention and in and to any and all improvements on said invention and in and to any and all improvements on said invention heretofore or hereafter made or acquired by said Assignor(s); and in and to any and all Letters Patent on said invention and/or said improvements that may be granted in the United States or any foreign country, including each and every Letters Patent granted on any application which is a division, continuation, substitution, renewal, or continuation-in-part of any said application, and in and to each and every reissue or extension of said Letters Patent.
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Patent, particularly by the disclosure of facts and the production of evidence relating to said invention and/or said improvements, provided the expenses which may be incurred by said Assignor(s) in lending such assistance and cooperation shall be paid by the Assignee(s).

5. The terms, covenants and conditions of this assignment shall inure to the benefit of said Assignee(s), its successors, assigns and/or other legal representatives and shall be binding upon said Assignor(s), his/her heirs, legal representatives and assigns.

6. Said Assignor(s) hereby warrants and represents that he/she has not entered into any assignment, contract or understanding in conflict herewith.

**Authorization to Permit Access To Application by Participating Office**

If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the above-identified patent application is filed access to the above-identified patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the above-identified patent application is filed to have access to the above-identified patent application.

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In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing the Authorization to Permit Access to Application by Participating Offices.

7. Said Assignor(s) hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor’s certificate, or Section 365(a) of any PCT international application which designated at least one country other than the United States listed below and have also identified below any foreign application for patent or inventor’s certificate having a filing date before that of the application on which priority is claimed:

**Prior Foreign Application(s):**

<u>Number</u>	<u>Country</u>	<u>Day/Month/Year filed</u>	<u>Priority Claimed</u>	
			<u>Yes</u>	<u>No</u>

8. Said Assignor(s) hereby claim the benefit under 35 USC 119(e) of any United States provisional application(s) listed below:

**Prior Provisional Application(s):**

<u>Serial No.</u>	<u>Filing Date</u>
61/580,649	12/27/2011

9. Said Assignor(s) hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or Section 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

**Prior U.S. Application(s):**

<u>Serial No.</u>	<u>Filing Date</u>

10. And we/I hereby authorize and request our/my attorney(s) of record in this application to insert the serial number and filing date of this document in the spaces that follow:

<u>Serial No.</u>	<u>Filing Date</u>
13/728,966	December 27, 2012

The above-identified application was made or authorized to be made by the Assignor(s), who believe(s) that I am/we are the original inventor(s) or an original joint inventor(s) of a claimed invention in the application.

Said Assignor(s) hereby acknowledge that any willful false statement made in this Assignment is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both..

IN WITNESS WHEREOF, the said Assignor(s) has executed this instrument on the date of acknowledgement before the Notary Public as given below and delivered this instrument to said Assignee(s).

Inventor's signature: [Signature] Date: 1/3/2013

Full name of inventor: Jongik Won  
Citizenship: US  
Residence Address: 1609 Holly Circle  
Pleasanton, CA 94566  
P.O. Address: Same as Residence

State of California  
County of Santa Clara } ss

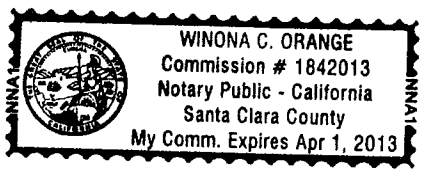
On 03 January 2013 before me, Winona C. Orange, Notary Public  
(name and title of officer)

personally appeared Jongik Won, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature Winona C. Orange



The above-identified application was made or authorized to be made by the Assignor(s), who believe(s) that I am/we are the original inventor(s) or an original joint inventor(s) of a claimed invention in the application.

Said Assignor(s) hereby acknowledge that any willful false statement made in this Assignment is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both..

IN WITNESS WHEREOF, the said Assignor(s) has executed this instrument on the date of acknowledgement before the Notary Public as given below and delivered this instrument to said Assignee(s).

Inventor's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of inventor: John Tseng  
Citizenship: US  
Residence Address: 10801 Gascoigne Dr.  
Cupertino, California 95014  
Post Office Address: Same as Residence

State of \_\_\_\_\_ }  
County of \_\_\_\_\_ } ss

On \_\_\_\_\_ before me, \_\_\_\_\_,  
*(name and title of officer)*

personally appeared John Tseng, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature \_\_\_\_\_

The above-identified application was made or authorized to be made by the Assignor(s), who believe(s) that I am/we are the original inventor(s) or an original joint inventor(s) of a claimed invention in the application.

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Inventor's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of inventor: Luis Martinez  
Citizenship: US  
Residence Address: 1372 Vancouver Way  
Livermore, California 94550  
Post Office Address: Same as Residence

State of \_\_\_\_\_ }  
County of \_\_\_\_\_ } ss

On \_\_\_\_\_ before me, \_\_\_\_\_,  
*(name and title of officer)*

personally appeared Luis Martinez, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

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Inventor's signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of inventor: Anthony J. Ticknor

Citizenship: US

Residence Address: 10952 Barranca Dr.  
Cupertino, CA 95014

Post Office Address: Same as Residence

State of \_\_\_\_\_ }  
County of \_\_\_\_\_ } ss

On \_\_\_\_\_ before me, \_\_\_\_\_,  
*(name and title of officer)*

personally appeared Anthony J. Ticknor, who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature \_\_\_\_\_