

RECORDATION FORM COVER SHEET PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)

Lapis Semiconductor Co., Ltd.

Additional name(s) of conveying party(ies) attached? Yes No**3. Nature of conveyance/Execution Date(s):**Execution Date(s) March 29, 2013

- 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: NeoPhotonics Semiconductor GKInternal Address: Intellectual Property DepartmentStreet Address: 550-10 Higashiasakawa-machi,
Hachioji-shi,City: Tokyo

State: _____

Country: Japan Zip: 193-8550Additional name(s) & address(es) attached? Yes No**4. Application or patent number(s):** This document serves as an Oath/Declaration (37 CFR 1.63).

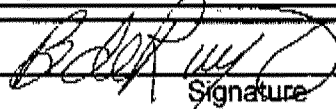
A. Patent Application No.(s)

B. Patent No.(s)

Please see attached list.

Additional numbers attached? Yes No**5. Name and address to whom correspondence concerning document should be mailed:**Name: Barbara deRuyter - NeoPhotonics CorporationInternal Address: Intellectual Property DepartmentStreet Address: 2911 Zanker RoadCity: San JoseState: California Zip: 95134Phone Number: 408 321-5060Docket Number: On attached listEmail Address: bderuyter@neophotonics.com**6. Total number of applications and patents involved:** 80**7. Total fee (37 CFR 1.21(h) & 3.41)** \$ 3,200

- Authorized to be charged to deposit account
 Enclosed
 None required (government interest not affecting title)

8. Payment InformationDeposit Account Number 504609Authorized User Name Barbara deRuyter**9. Signature:**


Signature

August 20, 2013

Date

Barbara deRuyter

Name of Person Signing

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

14

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

PATENT

	Docket Number	Patent Number
1	OKI0002D	6537865
2	OKI0003	7905666
3	OKI0006	5680493
4	OKI0007	5686851
5	OKI0008	5694069
6	OKI0009	5786916
7	OKI0010	5828085
8	OKI0011	5994158
9	OKI0012	6037615
10	OKI0013	6052178
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12	OKI0015	6083813
13	OKI0016	6087194
14	OKI0017	6101295
15	OKI0018	6229943
16	OKI0019	6246097
17	OKI0020	6246284
18	OKI0021	6265728
19	OKI0021D	6504185
20	OKI0021D2	6908777
21	OKI0023	6303968
22	OKI0024	6307433
23	OKI0025	6309113
24	OKI0026	6323530
25	OKI0027	6326860
26	OKI0028	6340251
27	OKI0029	6343163
28	OKI0030	6360048
29	OKI0031	6366142
30	OKI0032	6374028
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35	OKI0037	6409398
36	OKI0038	6411765
37	OKI0039	6413888
38	OKI0039D	6919541
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40	OKI0041	6456797
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62	OKI0059	6495766
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73	OKI0071	7132748
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76	OKI0077	6985647
77	OKI0081	7593610
78	OKI0082	7606447
79	OKI0083	7639436
80	OKI0117	8277131

PATENT ASSIGNMENT

THIS PATENT ASSIGNMENT ("Patent Assignment") is made and entered into as of March 29, 2013, by and among NeoPhotonics Semiconductor GK, a Japanese limited liability company (*gōdō kaisha*) ("Assignee"), and Lapis Semiconductor Co., Ltd., a Japanese corporation ("Assignor").

WHEREAS, Assignor and Assignee have entered into an Intellectual Property Assignment, dated as of the date hereof, pursuant to which Assignor has agreed to assign to Assignee the Patents (as defined below).

NOW, THEREFORE, in consideration of the premises and the mutual representations, warranties, covenants and agreements set forth in this Patent Assignment and in the Intellectual Property Assignment, the parties agree as follows:

1. Patents.

"Patents" means the patents and patent applications listed on Attachment A-1 hereto, and any continuations, divisionals, continuations-in-part, provisionals and other applications that claim priority from any of such patents and patent applications and any patents issuing on any of the foregoing, and any reissues, reexaminations, substitutions, renewals and extensions of any of the foregoing.

2. Assignment.

Assignor hereby assigns, transfers and conveys to Assignee all of its rights, title and interest in and to the Patents, and all rights, claims and privileges pertaining to the Patents, including, without limitation, rights to the underlying inventions, the right to prosecute and maintain the Patents, and the right to sue and recover damages for past, present and future infringement of any of the Patents.

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IN WITNESS WHEREOF, the undersigned have executed this Patent Assignment as of the date first above written.

Lapis Semiconductor Co., Ltd.

BY: A. Nishitani
Name: Akito Nishitani
Title: General Manager, Strategic
Development Division

Notarization:



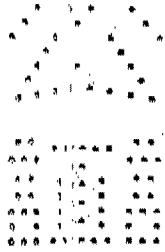
IN WITNESS WHEREOF, the undersigned have executed this Patent Assignment as of the date first above written.

NEOPHOTONICS SEMICONDUCTOR GK

by NeoPhotonics Corporation Limited,
its representative member

BY: _____
Name:
Title:

Notarization:



Attachment A-1

Patents

*Filed Patents

No.	Ref. No.	Country	App. No.	Filing Date	Patent No.	Issue Date	Exp. Date
1	93RL0624US01	US	08/489939	1995/6/13	5636045	1997/6/3	2015/6/13
2	93EP0064US01	US	08/507149	1995/7/26	5694069	1997/12/2	2015/7/26
3	93RL0495US01	US	08/539685	1995/10/5	5686851	1997/11/11	2015/10/5
4	94EC0474US01	US	08/660107	1996/6/7	5680493	1997/10/21	2016/6/7
5	95RL0004US01	US	08/663875	1996/6/19	5786916	1998/7/28	2016/6/19
6	95EP0022US01	US	08/788374	1997/1/24	5994158	1999/11/30	2017/1/24
7	95EP0030US01	US	08/907126	1997/8/6	5828085	1998/10/27	2017/8/6
8	96EC0010US01	US	08/959855	1997/10/29	6087194	2000/7/11	2017/10/29
9	96EC0192US01	US	09/015929	1998/1/30	6052178	2000/4/18	2018/1/30
10	96RL0313US01	US	09/034288	1998/3/4	6229943	2001/5/8	2018/3/4
11	96EP0018US01	US	09/044009	1998/3/19	6265728	2001/7/24	2018/3/19
12	96EP0010US01	US	09/061044	1998/4/16	6083813	2000/7/4	2018/4/16
13	96RL0576US01	US	09/083934	1998/5/26	6037615	2000/3/14	2018/5/26
14	96RL0299US01	US	09/092875	1998/6/8	6075405	2000/6/13	2018/6/8
15	97RL0046US01	US	09/112016	1998/7/8	6101295	2000/8/8	2018/7/8
16	96EP0014US01	US	09/161227	1998/9/28	6470038	2002/10/22	2018/9/28
17	97ED0447US01	US	09/187001	1998/11/6	6246097	2001/6/12	2018/11/6
18	97EC0297US01	US	09/206165	1998/12/7	6409398	2002/6/25	2018/12/7
19	97ED0186US01	US	09/206235	1998/12/7	6413888	2002/7/2	2018/12/7
20	96RL0504US01	US	09/222866	1998/12/30	6374028	2002/4/16	2018/12/30
21	97ED0547US01	US	09/246143	1999/2/8	6396117	2002/5/28	2019/2/8
22	97RL0325US01	US	09/253740	1999/2/22	6340251	2002/1/22	2019/2/22
23	98EC0202US01	US	09/285230	1999/4/1	6309113	2001/10/30	2019/4/1
24	98ED0263US01	US	09/296496	1999/4/22	6294801	2001/9/25	2019/4/22
25	97RL0296US01	US	09/434485	1999/11/5	6360048	2002/3/19	2019/11/5
26	98ED0100US01	US	09/447437	1999/11/23	6483098	2002/11/19	2019/11/23
27	98RL0113US01	US	09/450117	1999/11/26	6359720	2002/3/19	2019/11/26
28	97ED0576US01	US	09/490327	2000/1/24	6303968	2001/10/16	2020/1/24
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30	99ED0080US01	US	09/527393	2000/3/16	6343163	2002/1/29	2020/3/16
31	99ED0075US01	US	09/531777	2000/3/21	6463188	2002/10/8	2020/3/21
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34	99RL0120US01	US	09/570549	2000/5/12	6307433	2001/10/23	2020/5/12
35	99ED0024US01	US	09/584729	2000/6/1	6440846	2002/8/27	2020/6/1
36	98RL0378US01	US	09/615597	2000/7/13	6323530	2001/11/27	2020/7/13
37	97EC0603US01	US	09/669878	2000/9/27	6510168	2003/1/21	2020/9/27
38	99ED0451US01	US	09/679364	2000/10/5	6376892	2002/4/23	2020/10/5
39	98ED0611US01	US	09/694326	2000/10/24	6366142	2002/4/2	2020/10/24
40	99ED0113US01	US	09/697294	2000/10/27	6478477	2002/11/12	2020/10/27

41	99ED0462US01	US	09/699688	2000/10/31	6470118	2002/10/22	2020/10/31
42	99ED0389US01	US	09/729766	2000/12/6	6687446	2004/2/3	2021/11/26
43	99ED0302US01	US	09/732728	2000/12/11	6399968	2002/6/4	2020/12/11
44	98RL0072US01	US	09/774643	2001/2/1	6495766	2002/12/17	2021/2/1
45	99ED0494US01	US	09/799049	2001/3/6	6383853	2002/5/7	2021/3/6
46	99ED0284US01	US	09/818894	2001/3/28	6456767	2002/9/24	2021/3/28
47	96EP0018US02	US	09/873208	2001/6/5	6504185	2003/1/7	2018/3/19
48	99RL0226US01	US	09/880137	2001/6/14	6640025	2003/10/28	2021/6/14
49	98RL0367US01	US	09/887424	2001/6/25	6600842	2003/7/29	2021/6/25
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51	00ED0125US01	US	09/978053	2001/10/17	6521476	2003/2/18	2021/10/17
52	00RL0050US01	US	09/984280	2001/10/29	6894267	2005/5/17	2021/10/29
53	01ED0006US01	US	10/059149	2002/1/31	7118932	2006/10/10	2024/5/5
54	98RL0447US01	US	10/112938	2002/4/2	6999638	2006/2/14	2022/12/15
55	97ED0186US02	US	10/135444	2002/5/1	6919541	2005/7/19	2019/10/4
56	00ED0702US01	US	10/212170	2002/8/6	6773945	2004/8/10	2022/8/6
57	99ED0284US02	US	10/216858	2002/8/13	7046868	2006/5/16	2021/6/23
58	96EP0014US02	US	10/227412	2002/8/26	6562649	2003/5/13	2018/9/28
59	00ED0655US01	US	10/238652	2002/9/11	6974714	2005/12/13	2023/5/10
60	96EP0018US03	US	10/300848	2002/11/21	6908777	2005/6/21	2018/6/14
61	01ED0557US01	US	10/305966	2002/11/29	6882178	2005/4/19	2022/11/24
62	01ED0442US01	US	10/323935	2002/12/20	7164822	2007/1/16	2023/2/12
63	01ED0064US01	US	10/353028	2003/1/29	6867120	2005/3/15	2023/2/20
64	01ED0508US01	US	10/449492	2003/6/2	6916373	2005/7/12	2023/7/10
65	02ED0307US01	US	10/618601	2003/7/15	6900698	2005/5/31	2023/8/17
66	01ED0542US01	US	10/623655	2003/7/22	7132748	2006/11/7	2023/7/22
67	01ED0505US01	US	10/670719	2003/9/26	6974761	2005/12/13	2024/1/24
68	02RL0123US01	US	10/765860	2004/1/29	6985647	2006/1/10	2024/5/29
69	02RL0131US01	US	10/786024	2004/2/26	7137745	2006/11/21	2024/5/7
70	02ED0499US01	US	11/040016	2005/1/24	7608864	2009/10/27	2025/8/15
71	04ED0050US01	US	11/060299	2005/2/18	7276972	2007/10/2	2025/10/20
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73	00ED0655US02	US	11/196271	2005/8/4	7323352	2008/1/29	2023/7/16
74	04ED0339US01	US	11/528321	2006/9/28	7705377	2010/4/27	2028/4/4
75	04ED0310US01	US	11/607992	2006/12/4	7593610	2009/9/22	2026/12/4
76	05ED0277US01	US	11/711749	2007/2/28	7606447	2009/10/20	2027/2/28
77	05ED0847US01	US	11/769818	2007/6/28	7620090	2009/11/17	2027/6/28
78	05RL0204US01	US	11/905363	2007/9/28	7639436	2009/12/29	2028/1/20
79	06ED0293US01	US	12/068413	2008/2/6	7905666	2011/3/15	2029/10/24
80	06ED0812US01	US	12/144685	2008/6/24	7755433	2010/7/13	2028/6/24

81	08ED0004US01	US	12/461577	2009/8/17	7981787	2011/7/19	2029/8/17
82	97ED0576KR01	KR	20000011745	2000/3/9	673567	2007/1/17	2020/3/9
83	96EP0018KR01	KR	98-0010332	1998/3/25	370987	2003/1/22	2018/3/25
84	93EP0012JP01	JP	05-234145	1993/8/26	3350579	2002/9/13	2013/8/26
85	93RL0635JP01	JP	06-139172	1994/6/21	3409266	2003/3/20	2014/6/21
86	93RL0421JP01	JP	06-144162	1994/6/27	2968440	1999/8/20	2014/6/27
87	93RL0621JP01	JP	06-177149	1994/7/28	3120000	2000/10/13	2014/7/28
88	94RL0022JP01	JP	06-201918	1994/8/26	3442493	2003/6/20	2014/8/26
89	94EP0006JP01	JP	06-322144	1994/12/26	3291147	2002/3/22	2014/12/26
90	95RL0013JP01	JP	07-192184	1995/7/27	3767927	2006/2/10	2015/7/27
91	94RL0877JP01	JP	07-213397	1995/8/22	3217653	2001/8/3	2015/8/22
92	95RL0165JP01	JP	07-322029	1995/12/11	3695812	2005/7/8	2015/12/11
93	94RL0556JP01	JP	08-092639	1996/4/15	3625954	2004/12/10	2016/4/15
94	95RL0531JP01	JP	08-286619	1996/10/29	3217714	2001/8/3	2016/10/29
95	95RL0469JP01	JP	08-308056	1996/11/19	3226806	2001/8/31	2016/11/19
96	96EP0018JP01	JP	09-073396	1997/3/26	4084436	2008/2/22	2017/3/26
97	96RL0500JP01	JP	09-200837	1997/7/10	4168460	2008/8/15	2017/7/10
98	96EC0191JP01	JP	09-195554	1997/7/22	3939398	2007/4/6	2017/7/22
99	96RL0616JP01	JP	09-243705	1997/9/9	3623638	2004/12/3	2017/9/9
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101	97RL0066JP01	JP	09-301301	1997/10/31	3897420	2007/1/5	2017/10/31
102	97RL0295JP01	JP	10-030477	1998/1/28	4280316	2009/3/19	2018/1/28
103	97RL0348JP01	JP	10-052902	1998/2/17	3771034	2006/2/17	2018/2/17
104	97RL0093JP01	JP	10-101033	1998/4/13	4001416	2007/8/24	2018/4/13
105	97RL0262JP01	JP	10-107712	1998/4/17	4554731	2010/7/23	2018/4/17
106	97RL0267JP01	JP	10-189995	1998/7/6	4122577	2008/5/16	2018/7/6
107	97ED0884JP01	JP	10-287037	1998/10/8	4503107	2010/4/30	2018/10/8
108	98ED0263JP01	JP	10-312063	1998/11/2	3534624	2004/3/19	2018/11/2
109	98ED0100JP01	JP	10-351580	1998/12/10	3152907	2001/1/26	2018/12/10
110	98ED0280JP01	JP	11-021227	1999/1/29	3464161	2003/8/22	2019/1/29
111	98RL0284JP01	JP	11-051502	1999/2/26	3723371	2005/9/22	2019/2/26
112	97ED0576JP01	JP	11-239661	1999/8/26	4450454	2010/2/5	2019/8/26
113	98RL0205JP01	JP	11-285304	1999/10/6	4488559	2010/4/9	2019/10/6
114	98RL0496JP01	JP	11-287961	1999/10/8	4446520	2010/1/29	2019/10/8
115	99ED0024JP01	JP	11-289102	1999/10/12	4364358	2009/8/28	2019/10/12
116	98RL0447JP01	JP	11-291890	1999/10/14	4570712	2010/8/20	2019/10/14
117	97RL0326JP01	JP	11-296197	1999/10/19	4510961	2010/5/14	2019/10/19
118	99RL0096JP01	JP	11-340068	1999/11/30	4640733	2010/12/10	2019/11/30
119	99RL0121JP01	JP	11-343171	1999/12/2	4656459	2011/1/7	2019/12/2
120	98RL0565JP01	JP	11-348560	1999/12/8	4437579	2010/1/15	2019/12/8

121	99ED0284JP01	JP	2000-089074	2000/3/28	4060023	2007/12/28	2020/3/28
122	99ED0458JP01	JP	2000-117994	2000/4/19	4809515	2011/8/26	2020/4/19
123	99ED0451JP01	JP	2000-176468	2000/6/13	4693959	2011/3/4	2020/6/13
124	99ED0294JP01	JP	2000-195602	2000/6/29	4601129	2010/10/8	2020/6/29
125	98RL0072JP01	JP	2000-201686	2000/7/4	4562249	2010/8/6	2020/7/4
126	99ED0589JP01	JP	2000-244415	2000/8/11	4618854	2010/11/5	2020/8/11
127	00RL0062JP01	JP	2001-149796	2001/5/18	4703031	2011/3/18	2021/5/18
128	00ED0125JP01	JP	2001-175840	2001/6/11	4785276	2011/7/22	2021/6/11
129	00ED0559JP01	JP	2001-183049	2001/6/18	4704614	2011/3/18	2021/6/18
130	01RL0060JP01	JP	2002-039526	2002/2/18	3949977	2007/4/27	2022/2/18
131	01ED0263JP01	JP	2002-041721	2002/2/19	3974421	2007/6/22	2022/2/19
132	01ED0289JP01	JP	2002-050263	2002/2/26	4238508	2009/1/9	2022/2/26
133	00RL0116JP01	JP	2002-116394	2002/4/18	4075442	2008/2/8	2022/4/18
134	01ED0557JP01	JP	2002-182357	2002/6/24	3485559	2003/10/24	2022/6/24
135	01ED0542JP01	JP	2002-356953	2002/12/9	4045181	2007/11/22	2022/12/9
136	02ED0307JP01	JP	2003-009085	2003/1/17	3667320	2005/4/15	2023/1/17
137	02ED0551JP01	JP	2003-186878	2003/6/30	4318974	2009/6/5	2023/6/30
138	02ED0497JP01	JP	2003-194329	2003/7/9	4530627	2010/6/18	2023/7/9
139	02ED0499JP01	JP	2004-016348	2004/1/23	4822667	2011/9/16	2024/1/23
140	04ED0050JP01	JP	2004-188144	2004/6/25	4399321	2009/10/30	2024/6/25
141	95RL0013JP03	JP	2005-232008	2005/8/10	4024260	2007/10/12	2015/7/27
142	04ED0310JP01	JP	2005-351802	2005/12/6	4560479	2010/7/30	2025/12/6
143	05ED0013JP01	JP	2005-351804	2005/12/6	4789608	2011/7/29	2025/12/6
144	05RL0204JP01	JP	2006-270004	2006/9/29	4340281	2009/7/10	2026/9/29
145	06ED0293JP01	JP	2007-084143	2007/3/28	4280290	2009/3/19	2027/3/28
146	06ED0719JP01	JP	2007-248508	2007/9/26	5020012	2012/6/22	2027/9/26

* Pending Application

No.	Ref. No.	Country	App. No.	Filing Date	Laid Open No.	Status	IP firm
147	07ED0398US01	US	12/354829	2009/1/16	2009-0196546 A1	RCE	Volentine
148	08ED0005US01	US	12/556083	2009/9/9	2010-0080506 A1	RCE	Kubodera
149	08ED0251US01	US	12/659967	2010/3/26	2010-0254665 A1	Under Issuing	Rabin
150	05ED0013KR01	KR	20060101473.0	2006/10/18	1020070059934	Exm Requested	Koreana
151	06ED0812JP01	JP	2007-170774	2007/6/28	2009-010741	Appealed 8/22	Kanakura
152	07ED0149JP01	JP	2007-253539	2007/9/28	2009-086111	Under Exam.	Kakimoto
153	07ED0398JP01	JP	2008-023918	2008/2/4	2009-186577	Under Exam.	Pearl
154	08ED0042JP01	JP	2008-230518	2008/9/9	2010-066345	Allowed 8/21	Kanakura
155	08ED0005JP01	JP	2008-247954	2008/9/26	2010-080707	Req.Exam 2011	Iizuka
156	08ED0251JP01	JP	2009-090354	2009/4/2	2010-245186	Req.Exam 3/22	Iizuka
157	97ED0576DE01	DE	105035.0	2000/3/9	EP1079440	Under Exam	Pearl, Betten
158	06ED0812CN01	CN	200810100735.6	2008/5/20	CN 101335503A	Issue Fee paid 8/21	Sanyou



平成25年登簿第 160 号
認 証

ラピスセミコンダクタ株式会社 事業企画部長 西谷明人 は、本公証人の面前において、上記本人が添付の書面に自ら署名したことを自認している旨陳述した。

よって、これを認証する。

平成25年 4月 24日、本公証人役場において

横浜市西区北幸一丁目5番10号
横浜地方法務局所属

公 証 人
Notary

打越康雄

YASUO UCHIKOSHI



総公証 No 400539 号

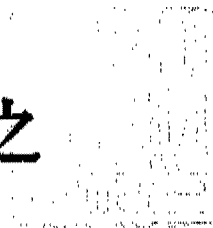
証 明

上記署名は、横浜地方法務局所属公証人の署名に相違ないものであり、かつ、その押印は、真実のものであることを証明する。

平成25年 4月 24日

横浜地方法務局長

高村一之



CERTIFICATE

This is to certify that the signature affixed above has been provided by Notary, duly authorized by the Yokohama District Legal Affairs Bureau and that the Official Seal appearing on the same is genuine.

Date APR. 24, 2013 Kazuyuki TAKAMURA

Director of the Yokohama District Legal Affairs Bureau

For legalization by the foreign consul in Japan, this is to certify that the Seal affixed hereto is genuine.

Date APR. 24, 2013

A. Ogawa

Ayako OGAWA

Tokyo, _____

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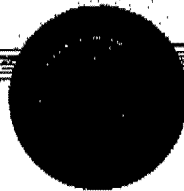
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驻日本国大使馆领事部

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2013年05月07日

A2948575



Registered No. 160

NOTARIAL CERTIFICATE

This is to certify that AKITO NISHITANI,
General Manager, Strategic Development
Division of Lapis Semiconductor Co., Ltd.,
acknowledged himself that the signature on
the attached document is his own,
on this 24 day of April, 2013.



Yasuo Uchikoshi

YASUO UCHIKOSHI

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