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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)

Makoto SHIBUTANI

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

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

Execution Date(s) October 4, 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: NEC CORPORATION

Internal Address: \_\_\_\_\_

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

City: Tokyo

State: \_\_\_\_\_

Country: JAPAN Zip: 108-8001

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

4. Application or patent number(s):

A. Patent Application No.(s)

14/056,803

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

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Sean M. McGinn, Esq.

Internal Address: McGinn Intellectual Property Law Group, PLLC

Street Address: 8321 Old Courthouse Road, Suite 200

City: Vienna

State: Virginia Zip: 22182-3817

Phone Number: (703) 761-4100

Docket Number: NEC12289PUS

Email Address: ADMIN @ MCGINNIPLAW.COM

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 to deposit account  
☒ Enclosed  
☐ None required (government interest not affecting title)

8. Payment Information

Deposit Account Number 50-0481(deficiencies only)

Authorized User Name Sean M. McGinn

9. Signature:

Signature

October 21, 2013

Date

Sean M. McGinn, Esq.

Name of Person Signing

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

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**ASSIGNMENT WITH DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)**

Whereas, I/we, the undersigned inventor(s) hereinafter called assignor(s), have invented certain improvements described in the application identified below; (the "invention") and

Whereas, NEC Corporation, (assignee), desires to acquire the entire and exclusive right, title, and interest in the application and invention, and to any patents that may be obtained therefor in the United States, in any U.S. territorial possessions, and in any and all foreign countries;

Now therefore, for valuable consideration, receipt whereof is hereby acknowledged,

I/we, the above named assignor(s), hereby sell, assign and transfer to the above named assignee, its successors and assigns, the entire and exclusive right, title and interest in the application and the invention disclosed therein for the United States, U.S. territorial possessions, and in any and all foreign countries, including all divisions, and continuations, and continuations-in-part thereof, and all Letters Patent of the United States that may be granted thereon, and all reissues and reexaminations, renewals, and substitutions thereof, and including the right to claim priority under 35 U.S.C. §119, and all rights for past infringement, under the International Convention, and under any other relevant International Treaties and Arrangements, and I/we request the Director of the U.S. Patent and Trademark Office to issue any Letters Patent granted upon the invention set forth in the application to the assignee, its successors and assigns; I/we will execute without further consideration all papers deemed necessary by the assignee, and generally perform all necessary acts to aid the assignee, its successors and assigns, to obtain and enforce proper protection for the invention in connection with the United States and foreign applications, including but not limited to all divisional, continuation, reissue and other applications for Letters Patent on the invention and execute all assignments thereof to the above named assignee its successors and assigns, when called upon to do so by the assignee; and I/we will communicate to the above named assignee or its representatives all facts known to the undersigned respecting the invention, whenever requested, testify in any legal proceedings in which any of the applications or patents may become involved, and do generally everything necessary to assist the above named assignee its successors or assigns to obtain patent protection for the invention in the United States and foreign countries.

(Legalization not required for recording but is prima facie evidence of execution under 35 U.S.C. §261)

As the below named inventor, I hereby declare that:

This assignment with declaration is directed to: ☒ The attached application, or  
☐ United States Application or PCT International Application Number \_\_\_\_\_  
filed on \_\_\_\_\_ (Confirmation No. \_\_\_\_\_).

The application is entitled:

**OPTICAL TRANSMISSION SYSTEM AND OPTICAL TRANSMISSION METHOD**

The above identified application was made or was authorized to be made by me.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I have reviewed and understand the contents of the application for which this assignment with declaration is being submitted, including the claims.

I am aware of the duty to disclose to the U.S Patent and Trademark Office all information known to me to be material to patentability as defined in 37 CFR 1.56.

I hereby acknowledge that any willful false statement made in this assignment with declaration is punishable under 18 USC 1001 by fine or imprisonment of not more than five (5) years, or both.

**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 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, or other intellectual property office in which a foreign application claiming priority to the above-identified application is filed to have access to the application.

In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the application-as-filed with respect to: 1) the above-identified patent application-as-filed, 2) any foreign application to which the above-identified application claims priority under 35 USC 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 from 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 Office.

<b>NAME OF SOLE OR FIRST INVENTOR:</b>	
Given Name (first and middle [if any])	Makoto
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Inventor's signature	<i>Makoto Shibutani</i>
Date	October 4, 2013
Residence: Tokyo, Japan	
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<b>NAME OF SECOND INVENTOR:</b>	
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<b>NAME OF THIRD INVENTOR:</b>	
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<b>NAME OF FIFTH INVENTOR:</b>	
Given Name (first and middle [if any])	
Family Name or Surname	
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