

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT2849324

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
	Name	Execution Date
	SIMON X.F. CAO	08/01/1998
RECEIVING PARTY DATA		
Name:	AVANEX CORPORATION	
Street Address:	42501 ALBRAE STREET	
City:	FREMONT	
State/Country:	CALIFORNIA	
Postal Code:	94583	
PROPERTY NUMBERS Total: 2		
Property Type	Number	
Patent Number:	6169828	
Patent Number:	6453089	
CORRESPONDENCE DATA		
Fax Number:	(412)945-5933	
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent via US Mail.</i>		
Phone:	4124718815	
Email:	assignments@webblaw.com	
Correspondent Name:	THE WEBB LAW FIRM PC	
Address Line 1:	ONE GATEWAY CENTER, 420 FT. DUQUESNE BLV	
Address Line 2:	SUITE 1200	
Address Line 4:	PITTSBURGH, PENNSYLVANIA 15222	
ATTORNEY DOCKET NUMBER:	7271-140293 135017 135012	
NAME OF SUBMITTER:	WILLIAM H. LOGSDON	
SIGNATURE:	/William H. Logsdon/	
DATE SIGNED:	05/09/2014	
Total Attachments: 2		
source=61698286453089#page1.tif		
source=61698286453089#page2.tif		

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)

Simon X.F. Cao

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

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

Execution Date(s) August 1, 1998

- ☒ 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: Avanex Corporation

Internal Address: _____

Street Address: 42501 Albrae Street

City: Fremont

State: California

Country: United States Zip: 94583

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

4. Application or patent number(s):

A. Patent Application No.(s)

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

B. Patent No.(s)

6,169,828

6,453,089

Additional numbers attached? ☐ Yes ☒ No

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

Name: William H. Logsdon

Internal Address: The Webb Law Firm

Street Address: One Gateway Center
420 Ft. Duquesne Blvd., Ste 1200

City: Pittsburgh

State: PA Zip: 15222

Phone Number: 412-471-8815

Fax Number: 412-945-5933

Email Address: assignments@webblaw.com

6. Total number of applications and patents involved: 2

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 0

- ☐ Authorized to be charged by credit card
☐ Authorized to be charged to deposit account
☐ Enclosed
☒ None required (government interest not affecting title)

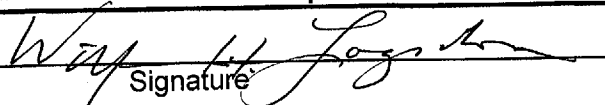
8. Payment Information

a. Credit Card Last 4 Numbers 1916
Expiration Date 05/2015

b. Deposit Account Number 23-0650

Authorized User Name _____

9. Signature:



Signature

May 9, 2014

Date

William H. Logsdon

Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 2

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

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, I/we, the undersigned, Simon X.F. Cao, do hereby sell, assign, and transfer to: **Avanex Corporation**, having a principal place of business at 42501 Albrae Street, Fremont, California 94583 ("Assignee"), its successors, assigns, and legal representatives, the entire right, title and interest for the United States and all foreign countries, in and to any and all improvements which are disclosed in the application for United States Letters Patent,

[X] which has been executed by the undersigned concurrently herewith,

[] which was filed on _____

and is entitled:

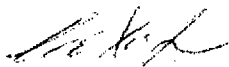
FIBER OPTIC DENSE WAVELENGTH DIVISION MULTIPLEXER WITH A PHASE DIFFERENTIAL METHOD OF WAVELENGTH SEPARATION UTILIZING A POLARIZATION BEAM SPLITTER AND A NON LINEAR INTERFEROMETER

and in and to said application and all divisional, continuing, substitute, renewal, reissue, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application; and

Agree that said Assignee may apply for and receive Letters Patent for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns, and representatives, all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which said Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns and legal representatives; and

Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Signed:



Name: SIMON X.F. CAO
Simon X.F. Cao

Date: 8-1-88

RECORDED: 08/06/1998

PATENT
REEL: 9377 FRAME: 0669

RECORDED: 05/09/2014

PATENT
REEL: 032860 FRAME: 0379