

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT2859454

SUBMISSION TYPE:	NEW ASSIGNMENT	
NATURE OF CONVEYANCE:	ASSIGNMENT	
CONVEYING PARTY DATA		
	Name	Execution Date
	SIMON CAO	03/15/2000
RECEIVING PARTY DATA		
Name:	AVANEX CORPORATION	
Street Address:	40919 ENCYCLOPEDIA CIRCLE	
City:	FREMONT	
State/Country:	CALIFORNIA	
Postal Code:	94538	
PROPERTY NUMBERS Total: 5		
Property Type	Number	
Patent Number:	6390633	
Patent Number:	6478433	
Patent Number:	6471361	
Patent Number:	6607278	
Patent Number:	6717731	
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	
NAME OF SUBMITTER:	WILLIAM H. LOGSDON	
SIGNATURE:	/William H. Logsdon/	
DATE SIGNED:	05/16/2014	
Total Attachments: 3		
source=5 patents frm inventor to Avanex#page1.tif		

PATENT

source=5 patents frm inventor to Avanex#page2.tif

source=5 patents frm inventor to Avanex#page3.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 Cao

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

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

Execution Date(s) March 15, 2000

- ☒ Assignment ☐ Mergers
☐ 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: 40919 Encyclopedia Circle

City: Fremont

State: California

Country: United States Zip: 94538

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

4. Application or patent number(s):

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

A. Patent Application No.(s)

B. Patent No.(s)

6,390,633 6,607,278
6,478,433 6,717,731
6,471,361

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: 5

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)

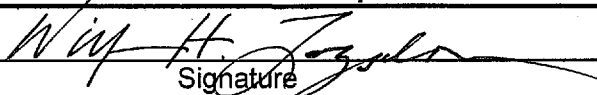
8. Payment Information

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

b. Deposit Account Number 23-0650

Authorized User Name _____

9. Signature:


Signature

May 16, 2014

Date

William H. Logsdon

Name of Person Signing

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

3

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

8811254

WHEREAS:

(FULL NAME(S) AND
POST OFFICE ADDRESS(ES)
(including country)
OF INVENTOR(S))

Dr. Simon Cao
2202 Ensenada Way
San Mateo, California 94403

(hereinafter, referred to as ASSIGNOR), has/have invented certain new and useful improvements
in an invention entitled

(TITLE OF INVENTION)

OPTICAL APPARATUS WHICH USES A VIRTUALLY IMAGED PHASED
ARRAY TO PRODUCE CHROMATIC DISPERSION

(COMPLETE EITHER
(a), (b), (c) or (d))

- (a) for which an application for United States Letters Patent is being executed and filed
concurrently herewith;
- (b) for which an application for United States Letters Patent was executed on
_____;
- (c) for which an application for United States Letters Patent was filed on December 14, 1999,
Serial No. 09/461,277;
- (d) for which United States Letters Patent No. _____
has issued on _____.

WHEREAS:

(FULL NAME AND
ADDRESS (including country)
OF ASSIGNEE (if a corporation,
so state and identify state/country
of corporation))

AVANEX CORPORATION
40919 Encyclopedia Circle
Fremont, CA 94538

(hereinafter referred to as ASSIGNEE), is desirous of acquiring the entire interest in, to and under
said invention and in, to and under Letters Patent or similar legal protection to be obtained therefor
in the United States and in any and all foreign countries.

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN: Be it known that in consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt and sufficiency of which is hereby acknowledged, and for other good and valuable consideration, ASSIGNOR hereby sells, assigns and transfers to ASSIGNEE, its lawful successors and assigns, the full and exclusive right, title and interest to said invention in the United States and its territorial possessions and in all foreign countries and to all Letters Patent or similar legal protection in the United States and its territorial possessions and in any and all foreign countries to be obtained for said invention by said application or any continuation, division, continuation-in-part, reexamination, renewal, substitute, extension or reissue thereof or any legal equivalent thereof in a foreign country for the full term or terms for which the same may be granted; and authorize and request the Commissioner of Patents of the United States and any official of any foreign country whose duty it is to issue patents or legal equivalents thereto, to issue same for this invention to ASSIGNEE, its lawful successors and assigns.

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 and legal equivalents in foreign countries 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, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof in any foreign country which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS THEREOF, I/We have hereunto set hand and signed on the date indicated below;

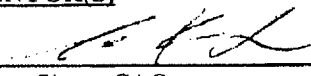
SIGNATURE(S)

*The signature(s) must
correspond with the name(s)
of the inventor(s) above.*

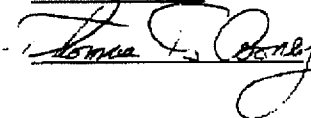
INVENTOR(S)

DATE SIGNED

WITNESS(ES)

1) 
Simon CAO

3/15/00



2) _____

3) _____

4) _____

5) _____
