

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT4943548

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
ANDREW RICKMAN	09/10/2017
ROCKLEY VENTURES LIMITED	09/10/2017
RECEIVING PARTY DATA	
Name:	ROCKLEY PHOTONICS LIMITED
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PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	15914981
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DATE SIGNED:	04/27/2018
Total Attachments: 8	
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ASSIGNMENT OF INVENTION & PATENT RIGHTS

Parties

- (1) **ANDREW RICKMAN** of Haredown Farm, Great Bedwyn, Marlborough, Wiltshire, SN8 3ND, UK (the "Inventor");
- (2) **ROCKLEY VENTURES LIMITED** incorporated and registered in England & Wales with company number 06499415 whose registered office is at Haredown Farmhouse, Great Bedwyn, Marlborough, Wiltshire, England, SN8 3ND ("RVL"); and
- (3) **ROCKLEY PHOTONICS LIMITED** incorporated and registered in England & Wales with company number 08683015 having its registered office at Cooley (UK) LLP 10th Floor Dashwood, 69 Old Broad Street, London, EC2M 1QS (the "Assignee").

Agreed terms

1. Definitions

The definitions in this clause apply in this Assignment.

"Completion Applications" means the completion patent applications, short particulars of which are set out in Part 2 of the Schedule.

"Invention" means the inventions listed in the Schedule and being the subject matter of the Priority Applications.

"Patent Applications" means the Priority Applications, the Completion Applications and any future applications linked by one or more priorities to the Priority Applications or the Completion Applications and all matter contained in such applications and any and all:

- (a) national and regional phase applications of all such applications; and
- (b) divisions, continuations and continuations-in-part of all such applications; and
- (c) patents that may be granted pursuant to any of the aforesaid applications for their full period, including any re-issues, re-examinations, renewals, extensions and Supplementary Protection Certificates.

"Priority Applications" means the priority patent applications, short particulars of which are set out in Part 1 of the Schedule.

2. Assignment

In consideration of the sum of £1 (sufficiency and receipt of which the Inventor and RVL expressly acknowledge), the Inventor and RVL hereby assign absolutely to the Assignee all their right, title and interest in all countries, regions and territories of the world in, to and arising from the Invention and, with effect from immediately prior to the filing of each, the Patent Applications, including (but not limited to):

- (a) in respect of the Invention and any invention that shall be disclosed in, and all matter that shall be contained in, any of the Patent Applications, the right to file

applications, claim priority from such applications, and prosecute and obtain grant of patent or other intellectual property protection in respect of any country, region or territory in the world;

- (b) in respect of each and any Patent Application:
 - (i) the right to claim priority from and to prosecute and obtain grant of patents; and
 - (ii) the right to file divisional applications based on the Patent Applications and to prosecute and obtain grant of patent on each and any such divisional application;
- (c) the right to extend to, or register in or in respect of any country, region or territory in the world, each and any of the Patent Applications and to extend to or register in, or in respect of, any country, region or territory in the world any patent or other intellectual property protection granted on any of such applications;
- (d) the absolute entitlement to any patents granted pursuant to any Patent Application; and
- (e) the right to bring, make, oppose or defend claims or actions, appeal proceedings and obtain relief (and to retain any damages recovered) in respect of any infringement, or any other cause of action arising from ownership, of the Inventions and the Patent Applications, whether occurring before on or after the date of this Assignment.

3. Further assurance

The Inventor and RVL shall, at the Assignee's cost, perform all further acts and things, and execute all further documents, required by law or which the Assignee requests to vest in the Assignee the full benefit of the right, title and interest assigned to the Assignee under this Assignment, including (but not limited to):

- (a) documents required to be signed by or on behalf of the Inventor or RVL in the course of any applications which relate to the Invention or to any inventions that shall be disclosed in any of the Patent Applications;
- (b) registration of the Assignee as applicant for, or proprietor of, the Patent Applications; and
- (c) assisting the Assignee in obtaining, defending and enforcing any of the Patent Applications, and assisting with any other proceedings which may be brought by or against the Assignee by any third party or in the resolution of any question concerning the Invention, or the Patent Applications or any inventions that shall be disclosed in any of the Patent Applications.

4. Right to amend the Schedule

The Inventor, RVL and the Assignee grant the firm of Mewburn Ellis LLP the right to insert in Part 3 of the Schedule to this Assignment any further identification of any existing or future patent applications in any countries, regions or territories of the world, which shall fall within

the scope of clause 2 above, or as may be necessary or desirable in order to comply with the rules of a patent office for the recordal of this Assignment.

5. Counterparts

This Assignment may be executed in any number of counterparts, each of which when executed shall constitute an original of this Assignment, but all the counterparts shall together constitute the same agreement.

6. Governing law and jurisdiction

This Assignment is governed by the laws of England and Wales and subject to the exclusive jurisdiction of its courts.

Schedule: The Patent Applications

Part 1: Priority Applications

Country	Application No.	Application Date	Title
GB	1400904.7	20 January 2014	TUNABLE SOI LASER
GB	1400909.6	20 January 2014	TUNABLE SOI LASER
GB	1403191.8	24 February 2014	DETECTOR REMODULATOR
US	62/057818	30 September 2014	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
US	14/639041	04 March 2015	OPTOELECTRONIC SWITCH
US	62/128949	05 March 2015	NOVEL WAVEGUIDE MODULATOR AND PHOTODIODE STRUCTURES
US	62/152696	24 April 2015	OPTOELECTRONIC SWITCHES
US	14/789,489	01 July 2015	INTERPOSER BEAM EXPANDER CHIP
US	62/234,454	29 September 2015	OPTOELECTRONIC SWITCH
US	62/251572	05 November 2015	OPTICAL SWITCH ARCHITECTURES
US	62/309,425	16 March 2016	SWITCH MODULE AND OPTOELECTRONIC SWITCH INCORPORATING THE SAME
US	62/354600	24 June 2016	OPTOELECTRONIC SWITCH
US	62/362,012	13 July 2016	BURIED INVERTED TAPER AND MONOLITHIC INTEGRATION OF PHOTONICS WITH CMOS
US	62/364233	19 July 2016	OPTICAL SWITCH ARCHITECTURE
US	62/462,240	22 February 2017	OPTOELECTRONIC SWITCH
GB	1703546.0	06 March 2017	OPTOELECTRONIC SWITCH WITH REDUCED FIBER COUNT
US	62/547,403	18 August 2017	MULTIPLE LASER SYSTEM PACKAGING

Part 2: Completion Applications

Country/region	Application No.	Application Date	Title
GB	1420063.8	11 November 2014	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH

GB	1420064.6	11 November 2014	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
GB	1420070.3	11 November 2014	OPTICAL BRIDGE
WO	PCT/GB2015/050105	19 January 2015	TUNABLE SOI LASER
WO	PCT/GB2015/050104	19 January 2015	TUNABLE SOI LASER
US	14/601101	20 January 2015	TUNABLE SOI LASER
US	14/601107	20 January 2015	TUNABLE SOI LASER
WO	PCT/GB2015/050523	24 February 2015	DETECTOR REMODULATOR
WO	PCT/GB2015/050524	24 February 2015	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
WO	PCT/GB2015/050520	24 February 2015	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
US	14/629922	24 February 2015	DETECTOR REMODULATOR
US	14/639041	04 March 2015	OPTOELECTRONIC SWITCH
GB	1506729.1	21 April 2015	OPTOELECTRONIC SWITCH
US	14/715448	18 May 2015	OPTOELECTRONIC SWITCH
US	14/752,476	26 June 2015	ELECTRONIC/PHOTONIC CHIP INTEGRATION AND BONDING
GB	1512430.8	16 July 2015	ELECTRONIC/PHOTONIC CHIP INTEGRATION AND BONDING
GB	1512931.5	22 July 2015	INTERPOSER BEAM EXPANDER CHIP
US	14/827,200	14 August 2015	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
US	14/868,116	28 September 2015	OPTICAL BRIDGE
WO	PCT/EP2015/072565	30 September 2015	OPTOELECTRONIC SWITCH
WO	PCT/EP2015/072607	30 September 2015	OPTOELECTRONIC SWITCH
WO	PCT/EP2015/076362	11 November 2015	ELECTRONIC/PHOTONIC CHIP INTEGRATION AND BONDING
US	15/042,803	12 February 2016	TUNABLE SOI LASER



US	15/072,314	16 March 2016	OPTOELECTRONIC SWITCH
WO	PCT/GB2016/051127	22 April 2016	OPTOELECTRONIC SWITCH ARCHITECTURES
CN	2015800002672.9	18 May 2016	TUNABLE SOI LASER
CN	201580002793.3	27 May 2016	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
GB	1611197.3	28 June 2016	OPTOELECTRONIC SWITCH
GB	1611433.2	30 June 2016	OPTOELECTRONIC SWITCH
WO	PCT/GB2016/052006	01 July 2016	INTERPOSER BEAM EXPANDER CHIP
CN	201580009961.1	23 August 2016	DETECTOR REMODULATOR
US	15/120,861	23 August 2016	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
US	15/256,321	02 September 2016	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
CN	201580012694.3	08 September 2016	TUNABLE SOI LASER
EP	15707726.4	21 September 2016	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
EP	15707725.6	21 September 2016	DETECTOR REMODULATOR
WO	PCT/GB2016/053030	29 September 2016	OPTOELECTRONIC SWITCH
WO	PCT/EP2016/076756	04 November 2016	OPTOELECTRONIC SWITCH
WO	PCT/EP2016/076755	04 November 2016	OPTOELECTRONIC SWITCH
US	15/369,804	05 December 2016	DETECTOR REMODULATOR
US	15/317,897	09 December 2016	OPTOELECTRONIC SWITCH
US	15/390,348	23 December 2016	OPTOELECTRONIC SWITCH
WO	PCT/EP2017/056129	15 March 2017	OPTICAL SWITCH ARCHITECTURE
US	15/461,421	16 March 2017	OPTICAL SWITCH ARCHITECTURE
JP	2017-518251	10 April 2017	OPTOELECTRONIC SWITCH
CN	201580055217.5	11 April 2017	OPTOELECTRONIC SWITCH
US	15/521,600	24 April 2017	OPTOELECTRONIC SWITCH ARCHITECTURES
JP	2017-525560	11 May 2017	ELECTRONIC/PHOTONIC CHIP INTEGRATION AND BONDING

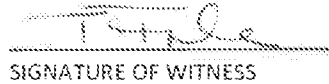
CN	201580061258.5	11 May 2017	ELECTRONIC/PHOTONIC CHIP INTEGRATION AND BONDING
CN	201580063014	19 May 2017	OPTOELECTRONIC SWITCH
GB	1708402.1	25 May 2017	OPTOELECTRONIC SWITCH
US	15/644,710	07 July 2017	OPTOELECTRONIC SWITCH
GB	1711282.2	13 July 2017	INTEGRATED STRUCTURE AND MANUFACTURING METHOD THEREOF
WO	PCT/EP2017/067767	13 July 2017	INTEGRATED STRUCTURE AND MANUFACTURING METHOD THEREOF
CN	201710650505.6	02 August 2017	DETECTOR REMODULATOR AND OPTOELECTRONIC SWITCH
US	15/696,145	05 September 2017	OPTOELECTRONIC SWITCH

Part 3: Identification of some, but not necessarily all, patent applications falling within the scope of clause 2 of this Assignment

Country/region	Application No.	Application Date	Title	Signature for Mewburn Ellis LLP

Executed by ANDREW RICKMAN in the
presence of:


SIGNATURE OF INVENTOR


SIGNATURE OF WITNESS


NAME: TRUDY FUGITO

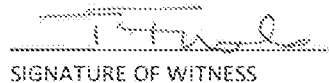
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OCCUPATION: FINANCE MANAGER

DATE: 09/10/17

Executed by ROCKLEY VENTURES LIMITED
acting by ANDREW RICKMAN
authorised representative, in the presence
of:


SIGNATURE OF A DIRECTOR


SIGNATURE OF WITNESS

NAME: TRUDY FUGITO

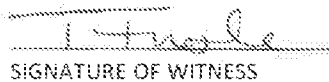
ADDRESS: 2 ASH GARDENS, SOUTH MARSTON, SN3 4XX

OCCUPATION: FINANCE MANAGER

DATE: 09/10/17

Executed by ROCKLEY PHOTONICS
LIMITED acting by ANDREW RICKMAN
authorised representative, in the presence
of:


SIGNATURE OF A DIRECTOR


SIGNATURE OF WITNESS

NAME: TRUDY FUGITO

ADDRESS: 2 ASH GARDENS, SOUTH MARSTON, SN3 4XX

OCCUPATION: FINANCE MANAGER

DATE: 09/10/17