

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT5779724

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
MICHAEL DEJONG	08/29/2019
WOLF PETER KLUWE	09/03/2019
MATTHEW WALLACE PETERSON	09/27/2019
DAYNE WILCOX	10/04/2019
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	CORNING RESEARCH & DEVELOPMENT CORPORATION
<b>Street Address:</b>	ONE RIVERFRONT PLAZA
<b>City:</b>	CORNING
<b>State/Country:</b>	NEW YORK
<b>Postal Code:</b>	14831
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	29626187
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(828)901-5206
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>	
<b>Phone:</b>	828-901-6730
<b>Email:</b>	maurermd2@corning.com
<b>Correspondent Name:</b>	CORNING RESEARCH & DEVELOPMENT CORPORATION
<b>Address Line 1:</b>	INTELLECTUAL PROPERTY DEPARTMENT
<b>Address Line 2:</b>	SP-TI-03-1
<b>Address Line 4:</b>	CORNING, NEW YORK 14831
<b>ATTORNEY DOCKET NUMBER:</b>	HI17-118
<b>NAME OF SUBMITTER:</b>	MICHEL D. MAURER
<b>SIGNATURE:</b>	/Michel D. Maurer/
<b>DATE SIGNED:</b>	10/21/2019
<b>Total Attachments: 7</b>	
source=20191021_HI17-118_US_Signed_Assignment#page1.tif	
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source=20191021\_HI17-118\_US\_Signed\_Assignment#page3.tif  
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source=20191021\_HI17-118\_US\_Signed\_Assignment#page6.tif  
source=20191021\_HI17-118\_US\_Signed\_Assignment#page7.tif



I covenant with CORNING, its successors, assigns and legal representatives or nominees, that the rights and property herein conveyed are free and clear of any encumbrance, and that I have full right to convey the same as herein expressed.

Signed this

8/29/2019 Date Michael De Jong

\_\_\_\_ Date Wolf Peter Kluwe

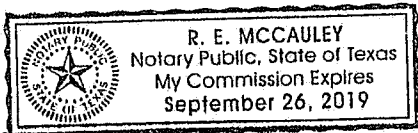
\_\_\_\_ Date Terence Lup-ho Kwan

\_\_\_\_ Date Matthew Wallace Peterson

\_\_\_\_ Date Dayne Wilcox

State of Texas )  
: ss.  
County of Tarrant )

On the 29 day of August 2019, before me personally came **Michael De Jong** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.



R. E. Mccauley  
Notary Public

On the \_\_\_\_ day of \_\_\_\_\_ 2019, before me personally came **Wolf Peter Kluwe** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Witness

State of \_\_\_\_\_ )  
: ss.  
County of \_\_\_\_\_ )

On the \_\_\_\_ day of \_\_\_\_\_ 2019, before me personally came **Terence Lup-ho Kwan** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Notary Public

I covenant with CORNING, its successors, assigns and legal representatives or nominees, that the rights and property herein conveyed are free and clear of any encumbrance, and that I have full right to convey the same as herein expressed.

Signed this

\_\_\_\_\_  
Date Michael De Jong

03.03.2018  
Date Wolf Peter Kluwe  
Wolf Peter Kluwe

\_\_\_\_\_  
Date Terence Lup-ho Kwan

\_\_\_\_\_  
Date Matthew Wallace Peterson

\_\_\_\_\_  
Date Dayne Wilcox

State of \_\_\_\_\_ )

: ss.

County of \_\_\_\_\_ )

On the \_\_\_\_\_ day of \_\_\_\_\_, 2019, before me personally came **Michael De Jong** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Notary Public

On the 3 day of September 2019, before me personally came **Wolf Peter Kluwe** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

Wolf Peter Kluwe  
Witness

State of \_\_\_\_\_ )

: ss.

County of \_\_\_\_\_ )

On the \_\_\_\_\_ day of \_\_\_\_\_, 2019, before me personally came **Terence Lup-ho Kwan** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Notary Public

Revised: June 14, 2016

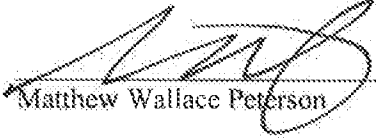
I covenant with CORNING, its successors, assigns and legal representatives or nominees, that the rights and property herein conveyed are free and clear of any encumbrance, and that I have full right to convey the same as herein expressed.

Signed this

\_\_\_\_\_  
Date Michael De Jong

\_\_\_\_\_  
Date Wolf Peter Kluwe

\_\_\_\_\_  
Date Terence Lup-ho Kwan

9/27/2019  
Date   
Matthew Wallace Peterson

\_\_\_\_\_  
Date Dayne Wilcox

State of \_\_\_\_\_ )  
: ss.  
County of \_\_\_\_\_ )

On the \_\_\_\_ day of \_\_\_\_\_, 2019, before me personally came **Michael De Jong** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Notary Public

On the \_\_\_\_ day of \_\_\_\_\_, 2019, before me personally came **Wolf Peter Kluwe** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Witness

State of \_\_\_\_\_ )  
: ss.  
County of \_\_\_\_\_ )

On the \_\_\_\_ day of \_\_\_\_\_, 2019, before me personally came **Terence Lup-ho Kwan** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Notary Public

I covenant with CORNING, its successors, assigns and legal representatives or nominees, that the rights and property herein conveyed are free and clear of any encumbrance, and that I have full right to convey the same as herein expressed.

Signed this


\_\_\_\_\_  
Date Michael De Jong

\_\_\_\_\_  
Date Wolf Peter Kluwe

\_\_\_\_\_  
Date Terence Lup-ho Kwan

\_\_\_\_\_  
Date Matthew Wallace Peterson

10/4/2019



\_\_\_\_\_  
Date Dayne Wilcox

State of \_\_\_\_\_ )

: ss.

County of \_\_\_\_\_ )

On the \_\_\_\_ day of \_\_\_\_\_ 2019, before me personally came **Michael De Jong** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Notary Public

On the \_\_\_\_ day of \_\_\_\_\_ 2019, before me personally came **Wolf Peter Kluwe** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Witness

State of \_\_\_\_\_ )

: ss.

County of \_\_\_\_\_ )

On the \_\_\_\_ day of \_\_\_\_\_ 2019, before me personally came **Terence Lup-ho Kwan** known to be the person described in and who executed the foregoing instrument, and acknowledged that they executed the same.

\_\_\_\_\_  
Notary Public

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**SUBSTITUTE STATEMENT IN LIEU OF AN OATH OR DECLARATION FOR UTILITY  
OR DESIGN PATENT APPLICATION (35 U.S.C. 115(d) AND 37 CFR 1.64)**

<b>Title of Invention</b>	CAP FOR OPTICAL FIBER CONNECTORS		
This statement is directed to:			
<input type="checkbox"/> The attached application,			
OR			
<input checked="" type="checkbox"/> United States application or PCT international application number <u>29/626,187</u> filed on <u>11/15/2017</u> .			
<b>LEGAL NAME of inventor to whom this substitute statement applies:</b>			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Terence Lup-ho Kwan			
Residence (except for a deceased or legally incapacitated inventor):			
City	State	Country	
South San Francisco	CA	US	
Mailing Address (except for a deceased or legally incapacitated inventor):			
3936 Fairfax Way			
City	State	Zip	Country
South San Francisco	CA	94080	US
I believe the above-named inventor or joint inventor to be the original inventor or an original joint inventor of a claimed invention in the application.			
The above-identified application was made or authorized to be made by me.			
I hereby acknowledge that any willful false statement made in this statement is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.			
Relationship to the inventor to whom this substitute statement applies:			
<input type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only),			
<input type="checkbox"/> Assignee,			
<input checked="" type="checkbox"/> Person to whom the inventor is under an obligation to assign,			
<input type="checkbox"/> Person who otherwise shows a sufficient proprietary interest in the matter (petition under 37 CFR 1.46 is required), or			
<input type="checkbox"/> Joint Inventor.			

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**PATENT  
REEL: 050779 FRAME: 0901**



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**SUBSTITUTE STATEMENT**

Circumstances permitting execution of this substitute statement:

- Inventor is deceased,
- Inventor is under legal incapacity,
- Inventor cannot be found or reached after diligent effort, or
- Inventor has refused to execute the oath or declaration under 37 CFR 1.63.

If there are joint inventors, please check the appropriate box below:

- An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) naming the entire inventive entity has been or is currently submitted.

OR

- An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) has not been submitted. Thus, a Substitute Statement Supplemental Sheet (PTO/AIA/11 or equivalent) naming the entire inventive entity and providing inventor information is attached. See 37 CFR 1.64(b).

**WARNING:**

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

**PERSON EXECUTING THIS SUBSTITUTE STATEMENT:**

Name: **Adam R. Weeks** Date (Optional): 2019-10-21

Signature: **/Adam R. Weeks/**

**APPLICANT NAME AND TITLE OF PERSON EXECUTING THIS SUBSTITUTE STATEMENT:**

If the applicant is a juristic entity, list the applicant name and the title of the signer:

**Corning Research & Development Corporation**

Applicant Name:

Title of Person Executing This Substitute Statement: **Attorney for Applicant (Reg. No. 62,266)**

The signer, whose title is supplied above, is authorized to act on behalf of the applicant.

**Residence of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent):**

City **Charlotte** State **NC** Country **US**

Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent)

4200 Corning Place

City **Charlotte** State **NC** Zip **28216** Country **US**

Note: Use an additional PTO/AIA/02 form for each inventor who is deceased, legally incapacitated, cannot be found or reached after diligent effort, or has refused to execute the oath or declaration under 37 CFR 1.63.