

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
Stylesheet Version v1.2

EPAS ID: PAT6332919

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
THOMAS PIERRE SCHRANS	07/30/2020
DONG YOON OH	08/03/2020
AARON JOHN ZILKIE	07/10/2020
RECEIVING PARTY DATA	
Name:	ROCKLEY PHOTONICS LIMITED
Street Address:	CLARENDON BUSINESS CENTRE
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State/Country:	GREAT BRITAIN
Postal Code:	OX2 6HJ
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	16667831
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ATTORNEY DOCKET NUMBER:	181765/MWR/RAV
NAME OF SUBMITTER:	RACHEL A. VILLALOBOS
SIGNATURE:	/Rachel A. Villalobos/
DATE SIGNED:	10/01/2020
Total Attachments: 10	
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ASSIGNMENT OF INVENTION & PATENT RIGHTS

Parties

- (1) Thomas Pierre Schrans residing in the United States of America with a mailing address of c/o ROCKLEY PHOTONICS, INC., 234 East Colorado Boulevard, Suite 600, Pasadena, California, 91101, United States of America;
- (2) Dong Yoon Oh residing in the United States of America with a mailing address of c/o ROCKLEY PHOTONICS, INC., 234 East Colorado Boulevard, Suite 600, Pasadena, California, 91101, United States of America;
- (3) Aaron John Zilkie residing in the United States of America with a mailing address of c/o ROCKLEY PHOTONICS, INC., 234 East Colorado Boulevard, Suite 600, Pasadena, California, 91101, United States of America;

each an "Inventor" or together the "Inventor(s)" as the context may indicate;

- (4) the Employer(s); and
- (5) **ROCKLEY PHOTONICS LIMITED** incorporated and registered in England & Wales whose principal place of business is at Clarendon Business Centre, Belsyre Court, 57 Woodstock Road, Oxford, OX2 6HJ, United Kingdom ("Rockley UK").

Agreed terms

1. DEFINITIONS

The definitions in this clause apply in this Assignment.

"Rockley USA" means ROCKLEY PHOTONICS, INC. incorporated and registered in the State of California whose principal place of business is at 234 E Colorado Blvd Suite 600, Pasadena, CA 91101, USA.

"Rockley Finland" means ROCKLEY PHOTONICS OY, incorporated and registered in Finland whose principal place of business is at Tietotie 3, FI-02150 Espoo, Finland.

"Rockley Ireland" means ROCKLEY PHOTONICS Ireland Limited incorporated and registered in Ireland whose principal place of business is at 13-18 City Quay, Dublin 2, Ireland.

"Rockley Ventures" means ROCKLEY VENTURES LIMITED incorporated and registered in England & Wales whose principal place of business is at Haredown Farm, Great Bedwyn, Marlborough, Wiltshire SN8 3ND, UK.

The **"Employer(s)"** means the entity or entities, from among Rockley USA, Rockley Finland, Rockley Ireland, and Rockley Ventures, that employs or contracts, or that each employ or contract, at least one of the Inventor(s).

"Priority Application(s)" means the first-filed patent application(s) including utility (provisional or non-provisional), model, or design, for a given invention from which priority may be claimed in the Completion Applications, short particulars of which are set out in Part 1 of the Schedule.

"Completion Application(s)" means patent application(s) which claim(s) priority to one or more of the Priority Application(s), short particulars of which are set out in Part 2 of the Schedule.

"Invention" means the invention entitled **OPTOELECTRONIC MODULATOR, PHOTONIC INTEGRATED CIRCUIT, AND METHOD**, being the subject matter of the Priority Application(s) and any subsequent Completion Application(s).

"Patent Applications" means the Priority Application(s), the Completion Application(s) and any future applications linked by one or more priorities to the Priority Application(s) or the Completion Application(s) 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, Supplementary Protection Certificates, and patent term adjustments.

2. Assignment

In consideration of the sum of one US dollar (\$1) (sufficiency and receipt of which the Inventor(s) and the Employer(s) expressly acknowledge) or other good and valuable consideration, each of the Inventor(s) and the Employer(s) hereby sells and assigns absolutely to Rockley UK 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 of 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, to prosecute, and to obtain grant of the patents; and
- (ii) the right to file divisional, continuation, continuation-in-part, and re-issue applications based on the Patent Applications and to prosecute and obtain grant of patent on each and any such 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

Each of the Inventor(s) and the Employer(s) shall perform all further acts and things, and execute all further documents, required by law or which Rockley UK requests to vest in Rockley UK the full benefit of the right, title and interest assigned to Rockley UK under this Assignment, including (but not limited to):

- (a) documents required to be signed by or on behalf of the Inventor(s) or the Employer(s) 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 Rockley UK as applicant for, or proprietor of, the Patent Applications; and
- (c) assisting Rockley UK in obtaining, defending and enforcing any of the Patent Applications, and assisting with any other proceedings which may be brought by or against Rockley UK 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(s), the Employer(s), and Rockley UK grant any law firm representing Rockley UK or any of the Employer(s) 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 Application(s)

Country	Application No.	Application Date	Title
GB	1817733.7	October 30, 2018	OPTOELECTRONIC MODULATOR, PHOTONIC INTEGRATED CIRCUIT, AND METHOD

Part 2: Completion Application(s)

Country	Application No.	Application Date	Title
US	16/667,831	October 29, 2019	OPTOELECTRONIC MODULATOR, PHOTONIC INTEGRATED CIRCUIT, AND METHOD

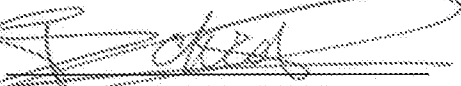
Part 3: Identification of some, but not necessarily all, patent applications falling within the scope of clause 2 of this Assignment

Country / Region	Application No.	Application Date	Title	Name of law firm	Signature for law firm

LRRC 181765 (RPAT085US)

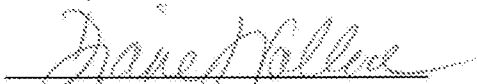
Executed by Thomas Pierre Schrans, an employee or consultant of

- ☐ Rockley UK
- ☒ Rockley USA
- ☐ Rockley Finland
- ☐ Rockley Ireland
- ☐ Rockley Ventures



SIGNATURE OF INVENTOR

in the presence of:



SIGNATURE OF WITNESS

NAME: *Diane Wallace*

ADDRESS: *234 E Colorado Blvd, Suite 600, Pasadena, CA 91101*

DATE: *July 30, 2020*

LRRC 181765 (RPAT085US)

Executed by Dong Yoon Oh, an employee or consultant of

- ☐ Rockley UK
- ☒ Rockley USA
- ☐ Rockley Finland
- ☐ Rockley Ireland
- ☐ Rockley Ventures



SIGNATURE OF INVENTOR

in the presence of:



SIGNATURE OF WITNESS

NAME: Elaine Oh

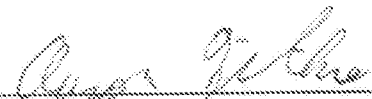
ADDRESS: 1005 N. Monterey A. Unit A, Alhambra, CA 91801

DATE: 8/3/2020

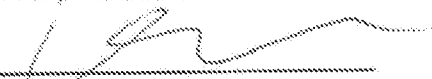
LRR 181765 (RPAT085US)

Executed by Aaron John Zilkie, an employee or consultant of

- ☐ Rockley UK
- ☒ Rockley USA
- ☐ Rockley Finland
- ☐ Rockley Ireland
- ☐ Rockley Ventures


SIGNATURE OF INVENTOR

in the presence of:


SIGNATURE OF WITNESS


NAME: Keyi Zilkie

ADDRESS: 2190 Paloma St., Pasadena, CA 91104

DATE: July 10, 2020

LRRC 181765 (RPAT085US)

Executed by **ROCKLEY**
PHOTONICS, INC. acting by
Suresh Chengalva, a director, in
the presence of: an authorized
representative


SIGNATURE OF A DIRECTOR
SIGNATURE BY AN
AUTHORIZED REPRESENTATIVE

Anupama
SIGNATURE OF WITNESS

NAME: ANUPAMA CHENGALVA

ADDRESS: 3445 MODESTO LANE, CARMEL, INDIANA 46034

DATE: 09/08/20

Executed by **ROCKLEY**
PHOTONICS OY acting by
_____, a director, in the
presence of:

SIGNATURE OF A DIRECTOR

SIGNATURE OF WITNESS
NAME:
ADDRESS:
DATE:

Executed by **ROCKLEY**
PHOTONICS IRELAND acting by
_____, a director, in the
presence of:

SIGNATURE OF A DIRECTOR

SIGNATURE OF WITNESS
NAME:
ADDRESS:
DATE:


Executed by **ROCKLEY**
VENTURES LIMITED acting by
_____, a director, in the
presence of:

SIGNATURE OF A DIRECTOR

SIGNATURE OF WITNESS
NAME:
ADDRESS:
DATE:

LRRC 181765 (RPAT085US)

Executed by **ROCKLEY**
PHOTONICS LIMITED acting by
Suresh Chengalva, a director, in the
presence of: an authorized
representative


SIGNATURE OF A DIRECTOR
SIGNATURE BY AN
AUTHORIZED REPRESENTATIVE

Anupama
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DATE: 07/08/20