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| APPLICATION<br>NUMBER | FILING or<br>371(c) DATE | GRP ART<br>UNIT | FIL FEE REC'D | ATTY. DOCKET NO | TOT CLAIMS | IND CLAIMS |
|-----------------------|--------------------------|-----------------|---------------|-----------------|------------|------------|
| 62/166,015            | 05/25/2015               |                 | 130           | 58083-US-PA-PR  |            |            |

CONFIRMATION NO. 5403

FILING RECEIPT



0000000075652529

31561  
JIANQ CHYUN INTELLECTUAL PROPERTY OFFICE  
7 FLOOR-1, NO. 100  
ROOSEVELT ROAD, SECTION 2  
TAIPEI, 100  
TAIWAN

Date Mailed: 06/11/2015

Receipt is acknowledged of this provisional patent application. It will not be examined for patentability and will become abandoned not later than twelve months after its filing date. Any correspondence concerning the application must include the following identification information: the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please submit a written request for a Filing Receipt Correction. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections**

Inventor(s)

Po-Kuan Shen, Hsinchu, TAIWAN;  
Hsiao-Chin Lan, Hsinchu, TAIWAN;  
Tzu-Ching Yeh, Hsinchu, TAIWAN;  
Chin-Ta Chen, Hsinchu, TAIWAN;  
Shang-Jen Yu, Hsinchu, TAIWAN;

Applicant(s)

Centra Photonics Inc., Hsinchu, TAIWAN;

Power of Attorney:

Belinda Lee--46863

Permission to Access - A proper **Authorization to Permit Access to Application by Participating Offices** (PTO/SB/39 or its equivalent) has been received by the USPTO.

If Required, Foreign Filing License Granted: 06/10/2015

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US 62/166,015**

**Projected Publication Date:** None, application is not eligible for pre-grant publication

**Non-Publication Request:** No

**Early Publication Request:** No

**\*\* SMALL ENTITY \*\***

**Title**

Hybrid AWG Optical Receiver

**Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications: No**

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4258).

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**Title 35, United States Code, Section 184**

**Title 37, Code of Federal Regulations, 5.11 & 5.15**

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Application Number: 62166015

Document Date: 05/25/2015

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Since this was an electronic submission, there is no physical artifact folder, no artifact folder is recorded in PALM, and no paper documents or physical media exist. The TIFF images in the IFW record were created from the original documents that are stored in SCORE.

- Drawing

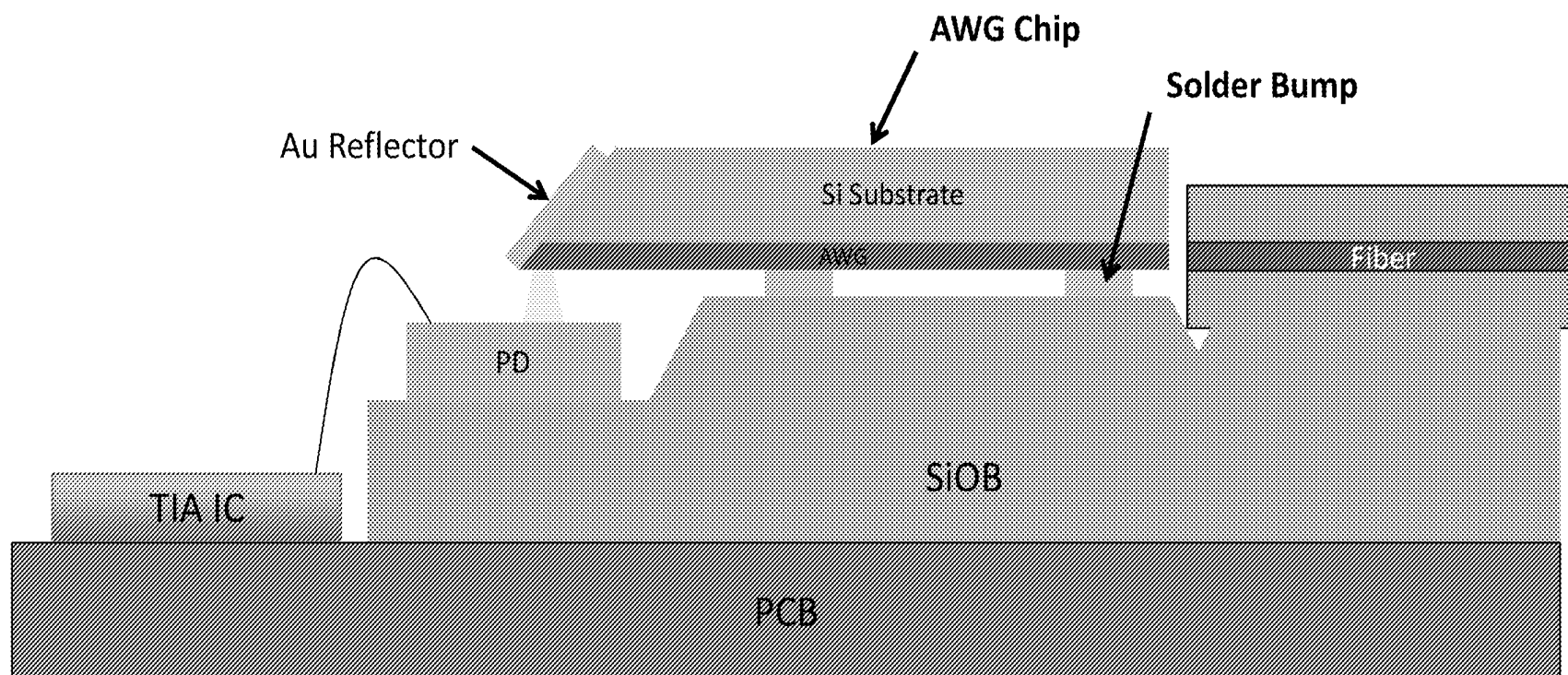
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- USPTO employees may access SCORE content via eDAN using the Supplemental Content tab, or via the SCORE web page.
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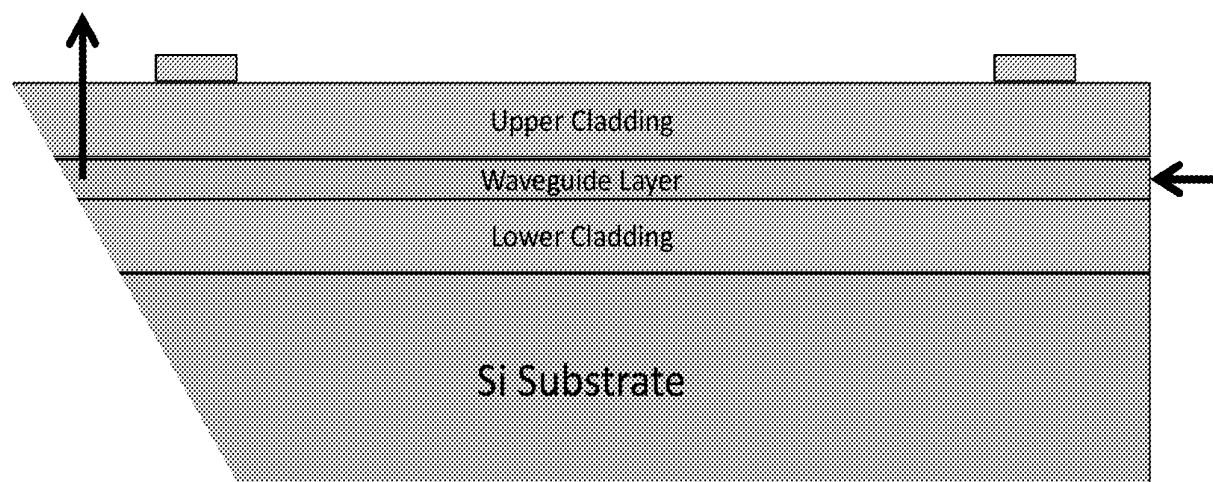
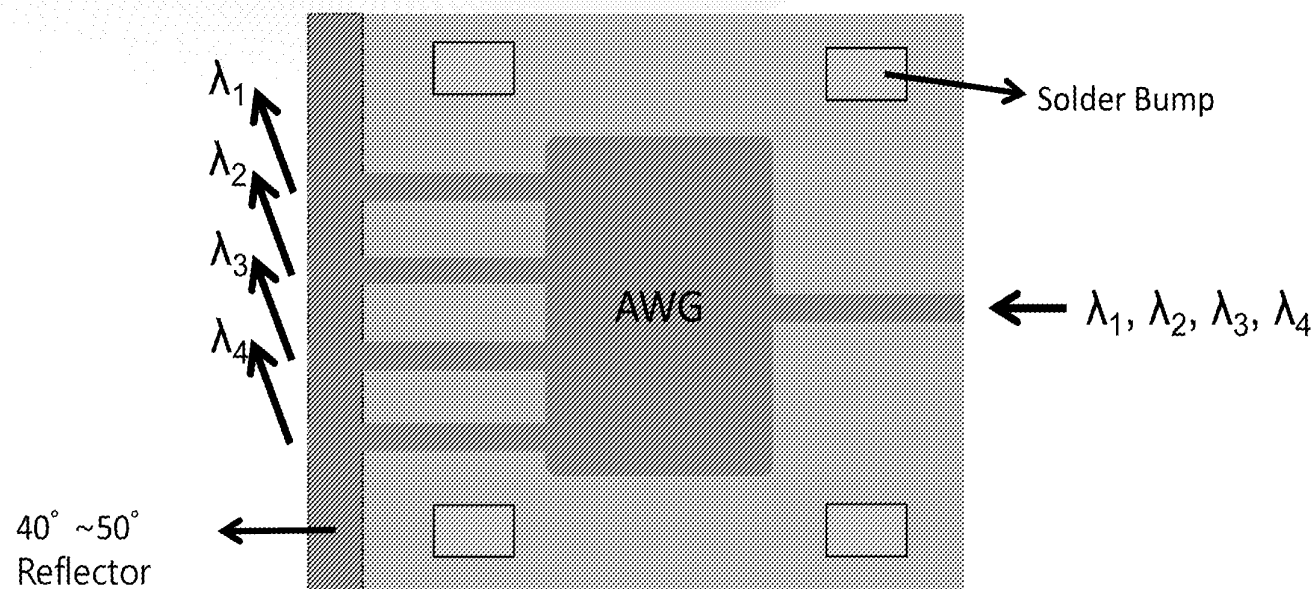
# Hybrid AWG Optical Receiver

Inventors : Shen, Po-Kuan Lan, Hsiao-Chin YEH, TZU-CHING Chen,  
Chin-Ta YU, SHANG-JEN

# Invention



# AWG Top-View and Side View



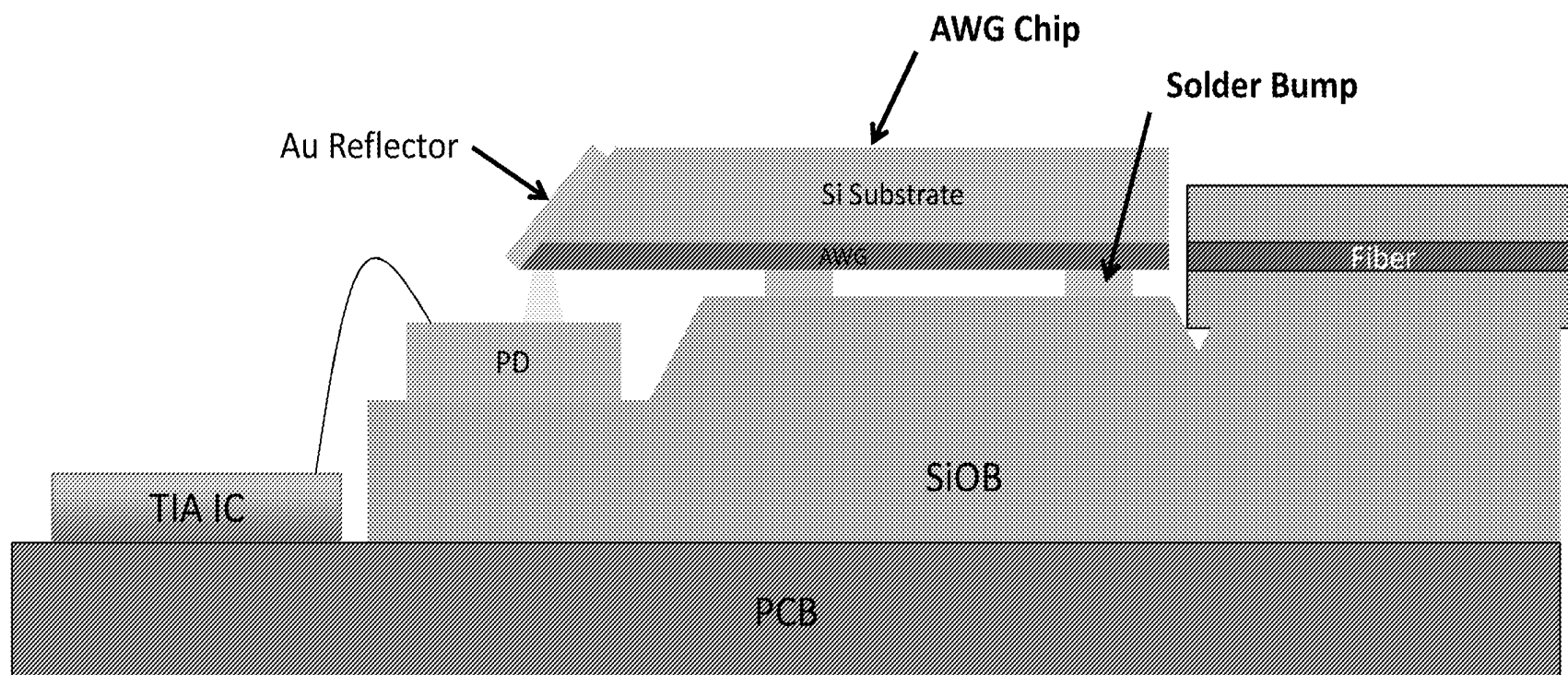
# Summary

- Fastening the fiber
  - SIOB may have a groove structure(or the similar structure) for locating the fiber
  - Using the top and bottom substrates to clip the fiber
- TIA IC may be located on the same substrate(SIOB) with PD, or located on the PCB and connected the PD on SIOB through wire bonding.
- The AWG chip not only compose of cladding and waveguide layer, but also have a reflector at one of waveguide end-facet. The gold thin-film deposited on the reflector is employed to increase the reflector's reflectivity. This reflector is used to achieve optical out-of-plane bending so that the lightwave at AWG chip output ports can be easily coupled into the photodetector (PD) array within a very short optical path length. The solder bumps are deposited on the upper cladding layer so that the AWG chip can be aligned with SiOB or PD array and finally flip-chip bonded upon the SiOB.

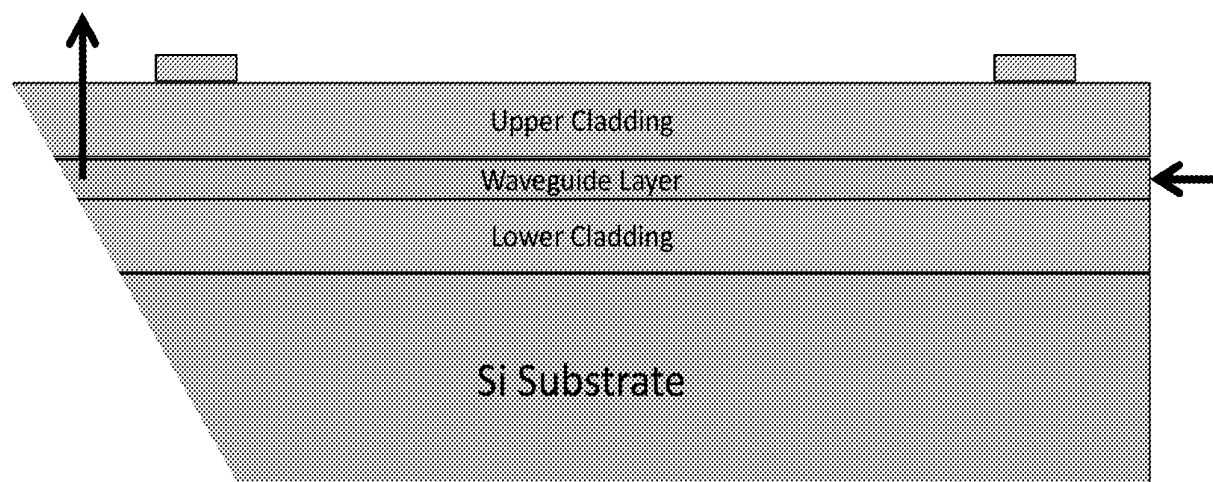
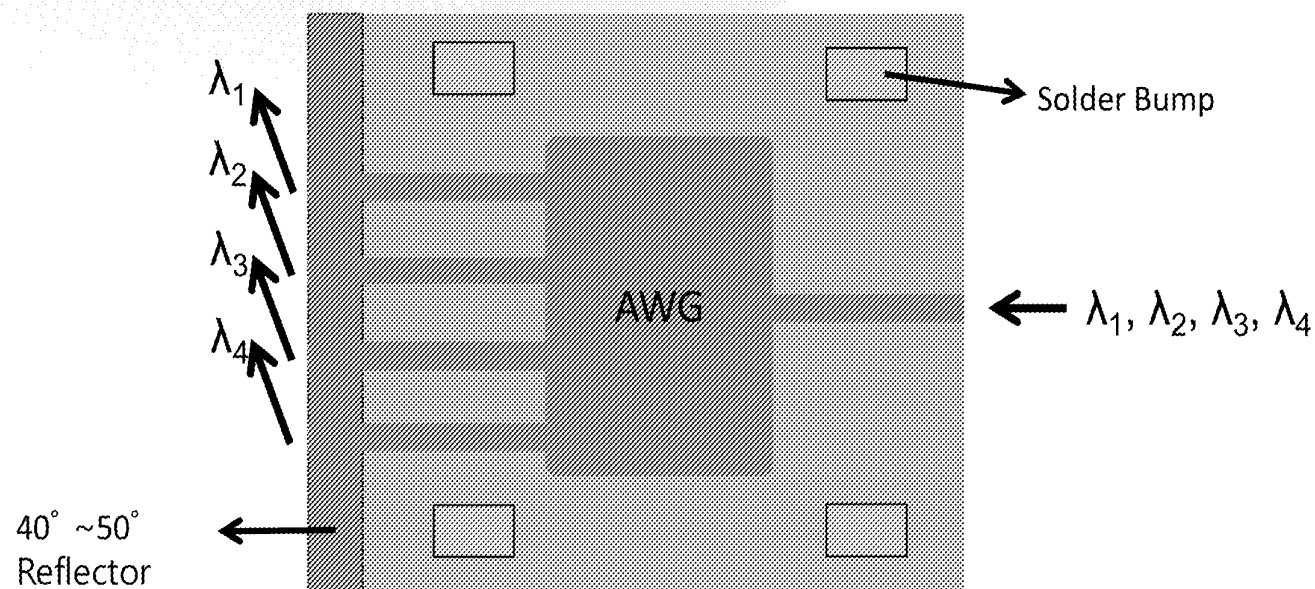
# Hybrid AWG Optical Receiver

Inventors : Shen, Po-Kuan Lan, Hsiao-Chin YEH, TZU-CHING Chen,  
Chin-Ta YU, SHANG-JEN

# Invention



# AWG Top-View and Side View



# Summary

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

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                             |                        |                |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------|------------------------|----------------|
| <b>Application Data Sheet 37 CFR 1.76</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                             | Attorney Docket Number | 58083-US-PA-PR |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                             | Application Number     |                |
| Title of Invention                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | Hybrid AWG Optical Receiver |                        |                |
| <p>The application data sheet is part of the provisional or nonprovisional application for which it is being submitted. The following form contains the bibliographic data arranged in a format specified by the United States Patent and Trademark Office as outlined in 37 CFR 1.76.</p> <p>This document may be completed electronically and submitted to the Office in electronic format using the Electronic Filing System (EFS) or the document may be printed and included in a paper filed application.</p> |                             |                        |                |

**Secrecy Order 37 CFR 5.2**

|                          |                                                                                                                                                                                                                                       |
|--------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | Portions or all of the application associated with this Application Data Sheet may fall under a Secrecy Order pursuant to 37 CFR 5.2 (Paper filers only. Applications that fall under Secrecy Order may not be filed electronically.) |
|--------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

**Inventor Information:**

|                                                                                                                                                                                 |                   |                                         |                    |               |               |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|-----------------------------------------|--------------------|---------------|---------------|
| <b>Inventor 1</b>                                                                                                                                                               |                   |                                         |                    |               | <b>Remove</b> |
| <b>Legal Name</b>                                                                                                                                                               |                   |                                         |                    |               |               |
| <b>Prefix</b>                                                                                                                                                                   | <b>Given Name</b> | <b>Middle Name</b>                      | <b>Family Name</b> | <b>Suffix</b> |               |
|                                                                                                                                                                                 | Po-Kuan           |                                         | Shen               |               |               |
| <b>Residence Information (Select One)</b> <input type="radio"/> US Residency <input checked="" type="radio"/> Non US Residency <input type="radio"/> Active US Military Service |                   |                                         |                    |               |               |
| <b>City</b>                                                                                                                                                                     | Hsinchu           | <b>Country of Residence<sup>i</sup></b> | TW                 |               |               |

**Mailing Address of Inventor:**

|                    |                                                   |                            |    |  |  |
|--------------------|---------------------------------------------------|----------------------------|----|--|--|
| <b>Address 1</b>   | c/o 3F, No.6-3, Dusing Rd., Hsinchu Science Park, |                            |    |  |  |
| <b>Address 2</b>   |                                                   |                            |    |  |  |
| <b>City</b>        | Hsinchu                                           | <b>State/Province</b>      |    |  |  |
| <b>Postal Code</b> | 30078                                             | <b>Country<sup>i</sup></b> | TW |  |  |

|                                                                                                                                                                                 |                   |                                         |                    |               |               |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|-----------------------------------------|--------------------|---------------|---------------|
| <b>Inventor 2</b>                                                                                                                                                               |                   |                                         |                    |               | <b>Remove</b> |
| <b>Legal Name</b>                                                                                                                                                               |                   |                                         |                    |               |               |
| <b>Prefix</b>                                                                                                                                                                   | <b>Given Name</b> | <b>Middle Name</b>                      | <b>Family Name</b> | <b>Suffix</b> |               |
|                                                                                                                                                                                 | Hsiao-Chin        |                                         | Lan                |               |               |
| <b>Residence Information (Select One)</b> <input type="radio"/> US Residency <input checked="" type="radio"/> Non US Residency <input type="radio"/> Active US Military Service |                   |                                         |                    |               |               |
| <b>City</b>                                                                                                                                                                     | Hsinchu           | <b>Country of Residence<sup>i</sup></b> | TW                 |               |               |

**Mailing Address of Inventor:**

|                    |                                                   |                            |    |  |  |
|--------------------|---------------------------------------------------|----------------------------|----|--|--|
| <b>Address 1</b>   | c/o 3F, No.6-3, Dusing Rd., Hsinchu Science Park, |                            |    |  |  |
| <b>Address 2</b>   |                                                   |                            |    |  |  |
| <b>City</b>        | Hsinchu                                           | <b>State/Province</b>      |    |  |  |
| <b>Postal Code</b> | 30078                                             | <b>Country<sup>i</sup></b> | TW |  |  |

|                   |  |  |  |  |               |
|-------------------|--|--|--|--|---------------|
| <b>Inventor 3</b> |  |  |  |  | <b>Remove</b> |
| <b>Legal Name</b> |  |  |  |  |               |

|                                           |                             |                        |                |
|-------------------------------------------|-----------------------------|------------------------|----------------|
| <b>Application Data Sheet 37 CFR 1.76</b> |                             | Attorney Docket Number | 58083-US-PA-PR |
|                                           |                             | Application Number     |                |
| Title of Invention                        | Hybrid AWG Optical Receiver |                        |                |

| Prefix                                                                                                                                                                   | Given Name | Middle Name                       | Family Name | Suffix |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-----------------------------------|-------------|--------|
|                                                                                                                                                                          | Tzu-Ching  |                                   | Yeh         |        |
| Residence Information (Select One) <input type="radio"/> US Residency <input checked="" type="radio"/> Non US Residency <input type="radio"/> Active US Military Service |            |                                   |             |        |
| City                                                                                                                                                                     | Hsinchu    | Country of Residence <sup>i</sup> | TW          |        |

**Mailing Address of Inventor:**

|             |                                                   |                      |    |                        |
|-------------|---------------------------------------------------|----------------------|----|------------------------|
| Address 1   | c/o 3F, No.6-3, Dusing Rd., Hsinchu Science Park, |                      |    |                        |
| Address 2   |                                                   |                      |    |                        |
| City        | Hsinchu                                           | State/Province       |    |                        |
| Postal Code | 30078                                             | Country <sup>i</sup> | TW |                        |
| Inventor 4  |                                                   |                      |    | <a href="#">Remove</a> |

| Legal Name                                                                                                                                                               |            |                                   |             |        |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-----------------------------------|-------------|--------|
| Prefix                                                                                                                                                                   | Given Name | Middle Name                       | Family Name | Suffix |
|                                                                                                                                                                          | Chin-Ta    |                                   | Chen        |        |
| Residence Information (Select One) <input type="radio"/> US Residency <input checked="" type="radio"/> Non US Residency <input type="radio"/> Active US Military Service |            |                                   |             |        |
| City                                                                                                                                                                     | Hsinchu    | Country of Residence <sup>i</sup> | TW          |        |

**Mailing Address of Inventor:**

|             |                                                   |                      |    |                        |
|-------------|---------------------------------------------------|----------------------|----|------------------------|
| Address 1   | c/o 3F, No.6-3, Dusing Rd., Hsinchu Science Park, |                      |    |                        |
| Address 2   |                                                   |                      |    |                        |
| City        | Hsinchu                                           | State/Province       |    |                        |
| Postal Code | 30078                                             | Country <sup>i</sup> | TW |                        |
| Inventor 5  |                                                   |                      |    | <a href="#">Remove</a> |

| Legal Name                                                                                                                                                               |            |                                   |             |        |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------|-----------------------------------|-------------|--------|
| Prefix                                                                                                                                                                   | Given Name | Middle Name                       | Family Name | Suffix |
|                                                                                                                                                                          | Shang-Jen  |                                   | Yu          |        |
| Residence Information (Select One) <input type="radio"/> US Residency <input checked="" type="radio"/> Non US Residency <input type="radio"/> Active US Military Service |            |                                   |             |        |
| City                                                                                                                                                                     | Hsinchu    | Country of Residence <sup>i</sup> | TW          |        |

**Mailing Address of Inventor:**

|             |                                                   |                      |    |  |
|-------------|---------------------------------------------------|----------------------|----|--|
| Address 1   | c/o 3F, No.6-3, Dusing Rd., Hsinchu Science Park, |                      |    |  |
| Address 2   |                                                   |                      |    |  |
| City        | Hsinchu                                           | State/Province       |    |  |
| Postal Code | 30078                                             | Country <sup>i</sup> | TW |  |

|                                           |                             |                        |                |
|-------------------------------------------|-----------------------------|------------------------|----------------|
| <b>Application Data Sheet 37 CFR 1.76</b> |                             | Attorney Docket Number | 58083-US-PA-PR |
|                                           |                             | Application Number     |                |
| Title of Invention                        | Hybrid AWG Optical Receiver |                        |                |

All Inventors Must Be Listed - Additional Inventor Information blocks may be generated within this form by selecting the **Add** button.

Add

## Correspondence Information:

Enter either Customer Number or complete the Correspondence Information section below.  
For further information see 37 CFR 1.33(a).

☐ An Address is being provided for the correspondence Information of this application.

|                 |                          |           |              |
|-----------------|--------------------------|-----------|--------------|
| Customer Number | 31561                    |           |              |
| Email Address   | USA@JCIPGROUP.COM.TW     | Add Email | Remove Email |
| Email Address   | BELINDA@JCIPGROUP.COM.TW | Add Email | Remove Email |

## Application Information:

|                                         |                             |                                           |                                     |
|-----------------------------------------|-----------------------------|-------------------------------------------|-------------------------------------|
| Title of the Invention                  | Hybrid AWG Optical Receiver |                                           |                                     |
| Attorney Docket Number                  | 58083-US-PA-PR              | Small Entity Status Claimed               | <input checked="" type="checkbox"/> |
| Application Type                        | Provisional                 |                                           |                                     |
| Subject Matter                          | Utility                     |                                           |                                     |
| Total Number of Drawing Sheets (if any) |                             | Suggested Figure for Publication (if any) |                                     |

## Filing By Reference :

Only complete this section when filing an application by reference under 35 U.S.C. 111(c) and 37 CFR 1.57(a). Do not complete this section if application papers including a specification and any drawings are being filed. Any domestic benefit or foreign priority information must be provided in the appropriate section(s) below (i.e., "Domestic Benefit/National Stage Information" and "Foreign Priority Information").

For the purposes of a filing date under 37 CFR 1.53(b), the description and any drawings of the present application are replaced by this reference to the previously filed application, subject to conditions and requirements of 37 CFR 1.57(a).

|                                                        |                          |                                            |
|--------------------------------------------------------|--------------------------|--------------------------------------------|
| Application number of the previously filed application | Filing date (YYYY-MM-DD) | Intellectual Property Authority or Country |
|                                                        |                          |                                            |

## Publication Information:

☐ Request Early Publication (Fee required at time of Request 37 CFR 1.219)

☐ **Request Not to Publish.** I hereby request that the attached application not be published under 35 U.S.C. 122(b) and certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication at eighteen months after filing.

## Representative Information:

|                                           |                             |                        |                |
|-------------------------------------------|-----------------------------|------------------------|----------------|
| <b>Application Data Sheet 37 CFR 1.76</b> |                             | Attorney Docket Number | 58083-US-PA-PR |
|                                           |                             | Application Number     |                |
| Title of Invention                        | Hybrid AWG Optical Receiver |                        |                |

Representative information should be provided for all practitioners having a power of attorney in the application. Providing this information in the Application Data Sheet does not constitute a power of attorney in the application (see 37 CFR 1.32). Either enter Customer Number or complete the Representative Name section below. If both sections are completed the customer Number will be used for the Representative Information during processing.

|                    |                                                  |                                              |                                                         |
|--------------------|--------------------------------------------------|----------------------------------------------|---------------------------------------------------------|
| Please Select One: | <input checked="" type="radio"/> Customer Number | <input type="radio"/> US Patent Practitioner | <input type="radio"/> Limited Recognition (37 CFR 11.9) |
| Customer Number    | 31561                                            |                                              |                                                         |

### Domestic Benefit/National Stage Information:

This section allows for the applicant to either claim benefit under 35 U.S.C. 119(e), 120, 121, or 365(c) or indicate National Stage entry from a PCT application. Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and 37 CFR 1.78.

When referring to the current application, please leave the application number blank.

|                                                                                                                       |                 |                          |                          |
|-----------------------------------------------------------------------------------------------------------------------|-----------------|--------------------------|--------------------------|
| Prior Application Status                                                                                              |                 | <a href="#">Remove</a>   |                          |
| Application Number                                                                                                    | Continuity Type | Prior Application Number | Filing Date (YYYY-MM-DD) |
|                                                                                                                       |                 |                          |                          |
| Additional Domestic Benefit/National Stage Data may be generated within this form by selecting the <b>Add</b> button. |                 |                          | <a href="#">Add</a>      |

### Foreign Priority Information:

This section allows for the applicant to claim priority to a foreign application. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and 37 CFR 1.55(d). When priority is claimed to a foreign application that is eligible for retrieval under the priority document exchange program (PDX) the information will be used by the Office to automatically attempt retrieval pursuant to 37 CFR 1.55(h)(1) and (2). Under the PDX program, applicant bears the ultimate responsibility for ensuring that a copy of the foreign application is received by the Office from the participating foreign intellectual property office, or a certified copy of the foreign priority application is filed, within the time period specified in 37 CFR 1.55(g)(1).

|                                                                                                        |                      |                          |                                          |
|--------------------------------------------------------------------------------------------------------|----------------------|--------------------------|------------------------------------------|
|                                                                                                        |                      |                          | <a href="#">Remove</a>                   |
| Application Number                                                                                     | Country <sup>i</sup> | Filing Date (YYYY-MM-DD) | Access Code <sup>j</sup> (if applicable) |
|                                                                                                        |                      |                          |                                          |
| Additional Foreign Priority Data may be generated within this form by selecting the <b>Add</b> button. |                      |                          | <a href="#">Add</a>                      |

|                                           |                             |                        |                |
|-------------------------------------------|-----------------------------|------------------------|----------------|
| <b>Application Data Sheet 37 CFR 1.76</b> |                             | Attorney Docket Number | 58083-US-PA-PR |
|                                           |                             | Application Number     |                |
| Title of Invention                        | Hybrid AWG Optical Receiver |                        |                |

## Statement under 37 CFR 1.55 or 1.78 for AIA (First Inventor to File) Transition Applications

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>This application (1) claims priority to or the benefit of an application filed before March 16, 2013 and (2) also contains, or contained at any time, a claim to a claimed invention that has an effective filing date on or after March 16, 2013.</p> <p><input type="checkbox"/> NOTE: By providing this statement under 37 CFR 1.55 or 1.78, this application, with a filing date on or after March 16, 2013, will be examined under the first inventor to file provisions of the AIA.</p> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## Authorization to Permit Access:

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Authorization to Permit Access to the Instant Application by the Participating Offices                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <p>If checked, the undersigned hereby grants the USPTO authority to provide the European Patent Office (EPO), the Japan Patent Office (JPO), the Korean Intellectual Property Office (KIPO), the World Intellectual Property Office (WIPO), and any other intellectual property offices in which a foreign application claiming priority to the instant patent application is filed access to the instant patent application. See 37 CFR 1.14(c) and (h). This box should not be checked if the applicant does not wish the EPO, JPO, KIPO, WIPO, or other intellectual property office in which a foreign application claiming priority to the instant patent application is filed to have access to the instant patent application.</p> <p>In accordance with 37 CFR 1.14(h)(3), access will be provided to a copy of the instant patent application with respect to: 1) the instant patent application-as-filed; 2) any foreign application to which the instant patent application claims priority under 35 U.S.C. 119(a)-(d) if a copy of the foreign application that satisfies the certified copy requirement of 37 CFR 1.55 has been filed in the instant patent application; and 3) any U.S. application-as-filed from which benefit is sought in the instant patent application.</p> <p>In accordance with 37 CFR 1.14(c), access may be provided to information concerning the date of filing this Authorization.</p> |

## Applicant Information:

|                                                                                                                                                                                            |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.</p> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                           |                             |                        |                |
|-------------------------------------------|-----------------------------|------------------------|----------------|
| <b>Application Data Sheet 37 CFR 1.76</b> |                             | Attorney Docket Number | 58083-US-PA-PR |
|                                           |                             | Application Number     |                |
| Title of Invention                        | Hybrid AWG Optical Receiver |                        |                |

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |    |                                                                |                                                                        |                                      |  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----|----------------------------------------------------------------|------------------------------------------------------------------------|--------------------------------------|--|
| <b>Applicant 1</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |    |                                                                |                                                                        | <a href="#">Remove</a>               |  |
| <p>If the applicant is the inventor (or the remaining joint inventor or inventors under 37 CFR 1.45), this section should not be completed. The information to be provided in this section is the name and address of the legal representative who is the applicant under 37 CFR 1.43; or the name and address of the assignee, person to whom the inventor is under an obligation to assign the invention, or person who otherwise shows sufficient proprietary interest in the matter who is the applicant under 37 CFR 1.46. If the applicant is an applicant under 37 CFR 1.46 (assignee, person to whom the inventor is obligated to assign, or person who otherwise shows sufficient proprietary interest) together with one or more joint inventors, then the joint inventor or inventors who are also the applicant should be identified in this section.</p> |    |                                                                |                                                                        |                                      |  |
| <a href="#">Clear</a>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |    |                                                                |                                                                        |                                      |  |
| <input checked="" type="radio"/> Assignee                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |    | <input type="radio"/> Legal Representative under 35 U.S.C. 117 |                                                                        | <input type="radio"/> Joint Inventor |  |
| <input type="radio"/> Person to whom the inventor is obligated to assign.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |    |                                                                | <input type="radio"/> Person who shows sufficient proprietary interest |                                      |  |
| If applicant is the legal representative, indicate the authority to file the patent application, the inventor is:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |    |                                                                |                                                                        |                                      |  |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |    |                                                                |                                                                        |                                      |  |
| Name of the Deceased or Legally Incapacitated Inventor : <input type="text"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |    |                                                                |                                                                        |                                      |  |
| If the Applicant is an Organization check here. <input checked="" type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |    |                                                                |                                                                        |                                      |  |
| Organization Name                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |    | Centera Photonics Inc.                                         |                                                                        |                                      |  |
| <b>Mailing Address Information For Applicant:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |    |                                                                |                                                                        |                                      |  |
| Address 1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |    | 3F, No.6-3, Dusing Rd., Hsinchu Science Park,                  |                                                                        |                                      |  |
| Address 2                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |    |                                                                |                                                                        |                                      |  |
| City                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |    | Hsinchu                                                        | State/Province                                                         |                                      |  |
| Country i                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | TW | Postal Code                                                    |                                                                        | 30078                                |  |
| Phone Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |    |                                                                | Fax Number                                                             |                                      |  |
| Email Address                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |    |                                                                |                                                                        |                                      |  |
| Additional Applicant Data may be generated within this form by selecting the Add button. <a href="#">Add</a>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |    |                                                                |                                                                        |                                      |  |

## Assignee Information including Non-Applicant Assignee Information:

|                                                                                                                                                                                                                                                                                                                                                                                                                                                               |  |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <p>Providing assignment information in this section does not substitute for compliance with any requirement of part 3 of Title 37 of CFR to have an assignment recorded by the Office.</p>                                                                                                                                                                                                                                                                    |  |
| <b>Assignee 1</b>                                                                                                                                                                                                                                                                                                                                                                                                                                             |  |
| <p>Complete this section if assignee information, including non-applicant assignee information, is desired to be included on the patent application publication. An assignee-applicant identified in the "Applicant Information" section will appear on the patent application publication as an applicant. For an assignee-applicant, complete this section only if identification as an assignee is also desired on the patent application publication.</p> |  |
| <a href="#">Remove</a>                                                                                                                                                                                                                                                                                                                                                                                                                                        |  |
| If the Assignee or Non-Applicant Assignee is an Organization check here. <input type="checkbox"/>                                                                                                                                                                                                                                                                                                                                                             |  |

|                                           |                             |                        |                |
|-------------------------------------------|-----------------------------|------------------------|----------------|
| <b>Application Data Sheet 37 CFR 1.76</b> |                             | Attorney Docket Number | 58083-US-PA-PR |
|                                           |                             | Application Number     |                |
| Title of Invention                        | Hybrid AWG Optical Receiver |                        |                |

|        |            |             |             |        |
|--------|------------|-------------|-------------|--------|
| Prefix | Given Name | Middle Name | Family Name | Suffix |
|        |            |             |             |        |

**Mailing Address Information For Assignee including Non-Applicant Assignee:**

|               |  |                |  |
|---------------|--|----------------|--|
| Address 1     |  |                |  |
| Address 2     |  |                |  |
| City          |  | State/Province |  |
| Country i     |  | Postal Code    |  |
| Phone Number  |  | Fax Number     |  |
| Email Address |  |                |  |

Additional Assignee or Non-Applicant Assignee Data may be generated within this form by selecting the Add button.

**Signature:**


NOTE: This form must be signed in accordance with 37 CFR 1.33. See 37 CFR 1.4 for signature requirements and certifications.

|                  |               |           |                   |                     |
|------------------|---------------|-----------|-------------------|---------------------|
| <b>Signature</b> | /Belinda Lee/ |           | Date (YYYY-MM-DD) | 2015-05-25          |
| First Name       | Belinda       | Last Name | Lee               | Registration Number |
|                  |               |           |                   | 46863               |

Additional Signature may be generated within this form by selecting the Add button.

This collection of information is required by 37 CFR 1.76. 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 1.14. This collection is estimated to take 23 minutes to complete, including gathering, preparing, and submitting the completed application data sheet 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.**

# Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these records.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

| Electronic Patent Application Fee Transmittal |          |                             |        |                      |
|-----------------------------------------------|----------|-----------------------------|--------|----------------------|
| Application Number:                           |          |                             |        |                      |
| Filing Date:                                  |          |                             |        |                      |
| Title of Invention:                           |          | Hybrid AWG Optical Receiver |        |                      |
| First Named Inventor/Applicant Name:          |          | Po-Kuan Shen                |        |                      |
| Filer:                                        |          | Belinda Lee                 |        |                      |
| Attorney Docket Number:                       |          | 58083-US-PA-PR              |        |                      |
| Filed as Small Entity                         |          |                             |        |                      |
| Filing Fees for Provisional                   |          |                             |        |                      |
| Description                                   | Fee Code | Quantity                    | Amount | Sub-Total in USD(\$) |
| Basic Filing:                                 |          |                             |        |                      |
| Provisional Application Filing Fee            | 2005     | 1                           | 130    | 130                  |
| Pages:                                        |          |                             |        |                      |
| Claims:                                       |          |                             |        |                      |
| Miscellaneous-Filing:                         |          |                             |        |                      |
| Petition:                                     |          |                             |        |                      |
| Patent-Appeals-and-Interference:              |          |                             |        |                      |
| Post-Allowance-and-Post-Issuance:             |          |                             |        |                      |

| Description        | Fee Code | Quantity | Amount | Sub-Total in USD(\$) |
|--------------------|----------|----------|--------|----------------------|
| Extension-of-Time: |          |          |        |                      |
| Miscellaneous:     |          |          |        |                      |
| Total in USD (\$)  |          |          |        | 130                  |

## Electronic Acknowledgement Receipt

|                                             |                             |
|---------------------------------------------|-----------------------------|
| <b>EFS ID:</b>                              | 22434369                    |
| <b>Application Number:</b>                  | 62166015                    |
| <b>International Application Number:</b>    |                             |
| <b>Confirmation Number:</b>                 | 5403                        |
| <b>Title of Invention:</b>                  | Hybrid AWG Optical Receiver |
| <b>First Named Inventor/Applicant Name:</b> | Po-Kuan Shen                |
| <b>Customer Number:</b>                     | 31561                       |
| <b>Filer:</b>                               | Belinda Lee                 |
| <b>Filer Authorized By:</b>                 |                             |
| <b>Attorney Docket Number:</b>              | 58083-US-PA-PR              |
| <b>Receipt Date:</b>                        | 25-MAY-2015                 |
| <b>Filing Date:</b>                         |                             |
| <b>Time Stamp:</b>                          | 01:36:34                    |
| <b>Application Type:</b>                    | Provisional                 |

### Payment information:

|                                          |                 |
|------------------------------------------|-----------------|
| Submitted with Payment                   | yes             |
| Payment Type                             | Deposit Account |
| Payment was successfully received in RAM | \$ 130          |
| RAM confirmation Number                  | 8509            |
| Deposit Account                          | 502620          |
| Authorized User                          | LEE, BELINDA    |

The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows:

| <b>File Listing:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                   |                                |                                          |                  |                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------|--------------------------------|------------------------------------------|------------------|------------------|
| Document Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Document Description                              | File Name                      | File Size(Bytes)/<br>Message Digest      | Multi Part /.zip | Pages (if appl.) |
| 1                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Specification                                     | 58083usf-provisional.pdf       | 6405074                                  | no               | 4                |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                   |                                | d7fa6ae09cd585c4d778603fa2b05668f18391c4 |                  |                  |
| <b>Warnings:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                   |                                |                                          |                  |                  |
| <b>Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                   |                                |                                          |                  |                  |
| 2                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Drawings-other than black and white line drawings | 58083usf-provisional-color.pdf | 6405074                                  | no               | 4                |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                   |                                | d7fa6ae09cd585c4d778603fa2b05668f18391c4 |                  |                  |
| <b>Warnings:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                   |                                |                                          |                  |                  |
| <b>Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                   |                                |                                          |                  |                  |
| 3                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Application Data Sheet                            | 58083-PR_ADS.pdf               | 1895046                                  | no               | 8                |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                   |                                | 193b471b622d396e544799ecb66f4f01833efe99 |                  |                  |
| <b>Warnings:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                   |                                |                                          |                  |                  |
| <b>Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                   |                                |                                          |                  |                  |
| 4                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Fee Worksheet (SB06)                              | fee-info.pdf                   | 29610                                    | no               | 2                |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                   |                                | 004984f0a24aa4b5cbd87bcd9b084c488cd53fa  |                  |                  |
| <b>Warnings:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                   |                                |                                          |                  |                  |
| <b>Information:</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                   |                                |                                          |                  |                  |
| <b>Total Files Size (in bytes):</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                   |                                | 14734804                                 |                  |                  |
| <p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b><u>New Applications Under 35 U.S.C. 111</u></b><br/> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><b><u>National Stage of an International Application under 35 U.S.C. 371</u></b><br/> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><b><u>New International Application Filed with the USPTO as a Receiving Office</u></b><br/> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p> |                                                   |                                |                                          |                  |                  |