**TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371**

**INTERNATIONALAPPLICATIONNO:** PCT/JP99/04630  **INTERNATIONALFILINGDATE** August 27, 1999  **PRIORITYDATECLAIMED** August 28, 1998

**TITLEOFINVENTION**
OPTICAL MODULE, OPTICAL ELEMENT ATTACHMENT METHOD, AND RECEPACLE-FITTED OPTICAL MODULE

**APPLICANT(S)FOR DO/EO/US**
Yoshiya Isono; Tsutomu Watanabe; Makoto Ohsawa; Koji Tanaka; Takehisa Ide

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
   a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
   b. ☐ has been transmitted by the International Bureau.
   c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
   a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
   b. ☐ have been transmitted by the International Bureau.
   c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
   d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 13 to 20 below concern document(s) or information included:**

15. ☐ A FIRST preliminary amendment.
16. ☐ A SECOND or SUBSEQUENT preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

*Return Receipt Postcard*
21. The following fees are submitted:

### BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

- [ ] Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445)(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO  
  \[ \text{\$1,000.00} \]
- **X** International preliminary examination fee (37 CFR 1.482) not paid to USPTO but Internation Search Report prepared by the EPO or JPO  
  \[ \text{\$860.00} \]
- [ ] International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO  
  \[ \text{\$710.00} \]
- [ ] International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)  
  \[ \text{\$690.00} \]
- [ ] International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)  
  \[ \text{\$710.00} \]

**ENTER APPROPRIATE BASIC FEE AMOUNT =**  
\[ \text{\$860.00} \]

Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)).

<table>
<thead>
<tr>
<th>CLAIMS</th>
<th>NUMBER FILED</th>
<th>NUMBER EXTRA</th>
<th>RATE</th>
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<tr>
<td>Total claims</td>
<td>18 - 20 =</td>
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<td>x $18.00</td>
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<tr>
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**TOTAL OF ABOVE CALCULATIONS =**  
\[ \text{\$860.00} \]

Reduction of 1/2 if filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).

| SUBTOTAL = | \$860.00 |
|           |          |

Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)).

| TOTAL NATIONAL FEE = | \$860.00 |
|                     |          |

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

| TOTAL FEES ENCLOSED = | \$860.00 |
|                      |          |

- [ ] A check in the amount of \$860.00 to cover the above fees is enclosed.
- [ ] Please charge my Deposit Account No. in the amount of to cover the above fees.
- [ ] The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. 02-1818 A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Michael S. Leonard, Esq.
Bell, Boyd & Lloyd LLC
P.O. Box 1135
Chicago, Illinois 60690-1135
Tel: (312) 807-4270

SIGNATURE

Michael S. Leonard

NAME

37,557

REGISTRATION NUMBER

February 28, 2001

DATE
CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Isono et al. 09/113197-004
Serial No. Unknown  Filing Date Herewith  Examiner Unknown  Group Art Unit Unknown

Invention: OPTICAL MODULE, OPTICAL ELEMENT ATTACHMENT METHOD, AND RECEPTACLE-FITTED OPTICAL MODULE

I hereby certify that the following correspondence:
Transmittal to the US Designated Office (duplicate); Copy of the International Patent App.; English Translation of Specification (77 pgs.); Copy of the International Search Report; Formal Drawings (26 sheets); Unsigned Declaration and Power of Attorney (5 pgs.); Check in the amount of $860.00; Copy of the Preliminary Exam. Report; Transmittal of IDS; Information Disclosure Citation (PTO-1449); Eleven References; Return Receipt Postcard.
(Identify type of correspondence)
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on February 28, 2001
(Date)

Susan Sarver
(Typed or Printed Name of Person Mailing Correspondence)
(Signature of Person Mailing Correspondence)

EL387675470US
("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.