### (19) World Intellectual Property Organization

International Bureau



## 

(43) International Publication Date 28 December 2006 (28.12.2006)

CT '

# (10) International Publication Number WO 2006/137844 A3

(51) International Patent Classification: *G02B 6/26* (2006.01) *G02B 6/42* (2006.01)

(21) International Application Number:

PCT/US2005/030823

(22) International Filing Date: 31 August 2005 (31.08.2005)

(25) Filing Language: English

(26) Publication Language: English

(30) Priority Data:

10/961,940 8 October 2004 (08.10.2004) US

- (71) Applicant (for all designated States except US): AGI-LENT TECHNOLOGIES, INC. [US/US]; 395 Page Mill Road, Palo Alto, CA 94306 (US).
- (72) Inventors: DJORDJEV, Kostadin, D.; 1819 Lencar Way, San Jose, CA 95124 (US). LIN, Chao-Kun; 5277 Diamond Common, Fremont, CA 94555 (US). TAN, Michael, R. T.; 315 Cotton Street, Menlo Park, CA 94025 (US).
- (74) Agent: KRAUSE-POLSTORFF, Juergen; Agilent Technologies, Inc., Intellectual Property Adm., M/S DL-429, P.O. Box 7599, Loveland, CO 80537-0599 (US).
- (81) Designated States (unless otherwise indicated, for every kind of national protection available): AE, AG, AL, AM,

AT, AU, AZ, BA, BB, BG, BR, BW, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, EG, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KM, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NA, NG, NI, NO, NZ, OM, PG, PH, PL, PT, RO, RU, SC, SD, SE, SG, SK, SL, SM, SY, TJ, TM, TN, TR, TT, TZ, UA, UG, US, UZ, VC, VN, YU, ZA, ZM, ZW.

(84) Designated States (unless otherwise indicated, for every kind of regional protection available): ARIPO (BW, GH, GM, KE, LS, MW, MZ, NA, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, HU, IE, IS, IT, LT, LU, LV, MC, NL, PL, PT, RO, SE, SI, SK, TR), OAPI (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

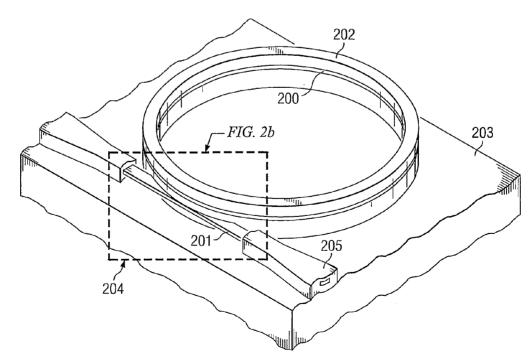
#### Published:

with international search report

## (88) Date of publication of the international search report: 12 April 2007

For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.

(54) Title: VERTICALLY COUPLING OF RESONANT CAVITIES TO BUS WAVEGUIDES



(57) Abstract: Embodiments of the invention involve a monolithic vertical configuration for coupling a ring resonator (200) and a bus waveguides (201). The monolithic vertical coupling arrangement, with the epitaxial grown coupling between the waveguide and the resonator, provides control of the coupling coefficient. The vertical coupling arrangement allows for different material compositions in the waveguide and resonator structures, e.g. active quantum well resonators and transparent waveguides, to facilitate the design of active WDM components.



### INTERNATIONAL SEARCH REPORT

International application No.

PCT/US05/30823

A. CLASSIFICATION OF SUBJECT MATTER IPC: G02B 6/26( 2006.01),6/42( 2006.01)					
по.	COLD GIAG BOOKS 1950 FAC 2000 TO 1				
USPC:					
According to	International Patent Classification (IPC) or to both nation	onal classification and IPC			
B. FIELDS SEARCHED					
Minimum documentation searched (classification system followed by classification symbols) U.S.: 385/31, 32, 39, 43					
Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched NONE					
Electronic data base consulted during the international search (name of data base and, where practicable, search terms used) Please See Continuation Sheet					
C. DOCUMENTS CONSIDERED TO BE RELEVANT					
Category *	Citation of document, with indication, where ap	ppropriate, of the relevant passages	Relevant to claim No.		
X	US 2002/0025105 A1 (OKAYAMA) 28 February 200	02 (28.02.2002), Figure 1; paragraphs	1-4, 6, 11		
X,P			1, 2, 6-11		
A	0004, 0014, 0022. US 2004/0150043 A1 (HOLM et al) 05 August 2004 (05.08.2004), see entire document.		1-11		
		-			
:					
Further	documents are listed in the continuation of Box C.	See patent family annex.			
* Special categories of cited documents:		"T" later document published after the inter date and not in conflict with the applica			
	defining the general state of the art which is not considered to be of relevance	principle or theory underlying theinven			
"E" earlier app	plication or patent published on or after the international filing date	"X" document of particular relevance; the considered novel or cannot be consider when the document is taken alone			
"L" document which may hrow doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)		"Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being			
"O" document referring to an oral disclosure, use, exhibition or other means		obvious to a person skilled in the art	s, such combination being		
"P" document published prior to the international filing date but later than the priority date claimed		"&" document member of the same patent family			
Date of the actual completion of the international search		Date of mailing of the international search report  1 6 JAN 2007			
	2006 (27.12.2006)	Authorized officer	<i>i</i> ·		
Name and mailing address of the ISA/US  Mail Stop PCT, Attn: ISA/US					
Commissioner for Patents P.O. Box 1450		Telephone No. (571) 272-1607			
Alexandria, Virginia 22313-1450 Facsimile No. (571) 273-3201					

INTERNATIONAL SEARCH REPORT	International application No. PCT/US05/30823			
	en en			
Continuation of B. FIELDS SEARCHED Item 3: EAST: US-PGPUB; USPAT; EPO; JPO; DERWENT				
search terms: (dielectric\$1 silicon si GAS GAAS gallium adj1 arsenide sapphire\$1 gallium adj1 nitride\$1) near12 (waveguide\$1 wave near1 guide\$1); dielectric\$1 same (waveguides wave near1 guides) same layers; dielectric\$1 near12 layer\$1; (ring\$1 disc\$1 disc\$1 near12 resonat\$5 same (wave near1 guides waveguides); (rig\$1 disc\$1 disk\$1) same resonat\$5 same (wave near1 guides waveguides); dop\$5 near12 (waveguide\$1 wave near1 guide\$1); (electr\$5 conduct\$5 electrod\$4 wire\$2 volt\$4) same (waveguide\$1) wave near1 guide\$1);				
dop\$5 same (waveguide\$1 wave near1 guide\$1); (resona\$5 ring\$1 disc\$1 disk\$2 microring\$2 miroresona\$4 microdisk\$3) near12 waveguide\$2 near12 substrate; (substrat\$1 near7 waeguide\$2 near5 reson\$4 same vertic\$4 near3 coup1\$4				

Form PCT/ISA/210 (extra sheet) (April 2005)