

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

OMB APPROVAL	
OMB Number:	3235-0104
Estimated average burden hours per response:	0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person* <u>Chainey Kimberly</u> <hr/> (Last) (First) (Middle) 3081 ZANKER ROAD <hr/> (Street) SAN JOSE CA 95134 <hr/> (City) (State) (Zip)			2. Date of Event Requiring Statement (Month/Day/Year) 03/25/2021		3. Issuer Name and Ticker or Trading Symbol <u>NEOPHOTONICS CORP [NPTN]</u>	
			4. Relationship of Reporting Person(s) to Issuer (Check all applicable) <input checked="" type="checkbox"/> Director 10% Owner Officer (give title below) Other (specify below)		5. If Amendment, Date of Original Filed (Month/Day/Year) <hr/> 6. Individual or Joint/Group Filing (Check Applicable Line) <input checked="" type="checkbox"/> Form filed by One Reporting Person Form filed by More than One Reporting Person	

Table I - Non-Derivative Securities Beneficially Owned

1. Title of Security (Instr. 4)	2. Amount of Securities Beneficially Owned (Instr. 4)	3. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	4. Nature of Indirect Beneficial Ownership (Instr. 5)
---------------------------------	---	--	---

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 4)	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Securities Underlying Derivative Security (Instr. 4)		4. Conversion or Exercise Price of Derivative Security	5. Ownership Form: Direct (D) or Indirect (I) (Instr. 5)	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			

Explanation of Responses:

Remarks:

No securities are beneficially owned.

By: /s/ Barbara Rogan, Attorney-in-Fact for Kimberly Chainey 03/30/2021

** Signature of Reporting Person

Date

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

* If the form is filed by more than one reporting person, see Instruction 5 (b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

AUTHORIZATION LETTER

March 25, 2021

Securities and Exchange Commission
100 F Street
Washington, D.C. 20549

Attn: Filing Desk

To Whom It May Concern:

By means of this letter, I authorize Timothy Jenks, Elizabeth Eby, Barbara Rogan and John Sellers, or any of them individually, to sign on my behalf.

This authorization shall remain in effect until revoked in writing by me.

Yours truly,
/s/ Kimberly Y. Chainey
Signature

Kimberly Chainey
Print Name

Date signed: March 26, 2021

POWER OF ATTORNEY

Know all by these presents, that the undersigned hereby constitutes and appoints each of Timothy Jenks, Elizabeth Eby, Barbara Rogan and John Sellers, or any of them individually, to sign on my behalf.

(1) execute for and on behalf of the undersigned, an officer, director or holder of 10% or more of a registered class of securities of NeoPhotonics Corporation;

(2) do and perform any and all acts for and on behalf of the undersigned that may be necessary or desirable to complete and execute such Form D-10;

(3) take any other action of any nature whatsoever in connection with the foregoing which, in the opinion of such attorney-in-fact, may be of any nature whatsoever.

The undersigned hereby grants to each such attorney-in-fact full power and authority to do and perform any and every act and thing whatsoever that may be necessary or desirable to complete and execute such Form D-10.

This Power of Attorney shall remain in full force and effect until the earliest to occur of (a) the undersigned is no longer required to file such Form D-10;

IN WITNESS WHEREOF, the undersigned has caused this Power of Attorney to be executed as of this 26th day of March, 2021.

/s/ Kimberly Y. Chainey
Signature

Kimberly Chainey
Exact Name of Insider