

7-27-98

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FORM PTO-1595

(Rev. 6-93)

OMB No. 0651-0011 (exp. 4/94)

Tab settings



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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): Xu Li, Yuexing Zhao, Diane J. Hymes, John M. de Larios	2. Name and address of receiving party(ies): Name: <u>OnTrak Systems, Inc.</u> Internal Address: _____ Street Address: <u>1010 Rincon Circle</u> City <u>San Jose</u> State <u>CA</u> ZIP <u>95131</u>
Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____	
Execution Date: <u>7/15/98, 7/16/98, 7/21/98</u>	

4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: _____	
A. Patent Application No.(s)  09/037,586	B. Patent No.(s)
Additional numbers attached? <input type="checkbox"/> Yes <input type="checkbox"/> No	

5. Name and address of party to whom correspondence concerning document should be mailed:  Name: <u>Blakely, Sokoloff, Taylor &amp; Zafman LLP</u> Internal Address: _____ Street Address: <u>12400 Wilshire Blvd.</u>  City: <u>Los Angeles</u> State: <u>CA</u> ZIP: <u>90025</u>	6. Total number of applications and patents involved: <div style="border: 1px solid black; padding: 2px; display: inline-block;">1</div>
	7. Total fee (37 CFR 3.41).....\$ <u>40.00</u> <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to be charged to deposit account
	8. Deposit account number: <u>02-2666</u> (Attach duplicate copy of this page if paying by deposit account)

07/31/1998 SSMITH 00000104 09037586

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40.00 00

9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i>		
<u>Michael I. Mallie Reg. #36,591</u>		<u>7/24/98</u>
Name of Person Signing	Signature	Date
Total number of pages comprising cover sheet, attachments, and document: <div style="border: 1px solid black; padding: 2px; display: inline-block;">3</div>		

**Mail documents to be recorded with required cover sheet information to:  
Commissioner of Patents and Trademarks, Box Assignment  
Washington, D.C. 20231**

LJV/cak 10/22/96

PATENT

REEL: 9346 FRAME: 0698



Attorney's Docket

No.: 65730.P024X

**ASSIGNMENT**

(For Execution After Filing Patent Application)

PATENT

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We

the undersigned, Xu Li, Yuexing Zhao, Diane J. Hymes, and John M. de Larios

hereby sell, assign, and transfer to OnTrak Systems, Inc.

a corporation of California having a principal place of business at

1010 Rincon Circle, San Jose, California 95131, ("Assignee"),

and its successors, assigns, and legal representatives, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements that are disclosed in the application for the United States patent that was filed March 9, 1998, and assigned Application No. 09/037,586 and is entitled

Methods and Apparatus For Cleaning Semiconductor Substrates After Polishing Of

Copper Film

and in and to said application and all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications that have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original patents, reissued patents, reexamination certificates, and extensions that have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application;

agree that said Assignee may apply for and receive a patent or patents for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns, and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney, and other papers; communicate to said Assignee, its successors, assigns, and representatives all facts known to the undersigned relating to said improvements and the history thereof; and generally assist said Assignee, its successors, assigns, or representatives in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements, and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns, and legal representatives; and

covenant with said Assignee, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned

Date: 7-15-98, 1998

Xu Li  
Name: Xu Li

Date: 7-15-98, 1998

Yuexing Zhao  
Name: Yuexing Zhao

Date: 8/21/98, 1998

Diane J. Hymes  
Name: Diane J. Hymes

Date: 7/10/98, 1998

John M. de Larios  
Name: John M. de Larios

Date: \_\_\_\_\_, 19\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_, 19\_\_

Name: \_\_\_\_\_

State of: \_\_\_\_\_}

County of: \_\_\_\_\_}

Assignment Document Return Address:

SS. BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
12400 Wilshire Blvd., Seventh Floor  
Los Angeles, California 90025-1026  
(408) 720-8598

On this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_, before me, \_\_\_\_\_,  
the undersigned Notary Public, personally appeared \_\_\_\_\_

☐ personally known to me ☐ proved to me on the basis of satisfactory evidence to  
be the person(s) whose name(s) \_\_\_\_\_ subscribed to the within instrument, and  
acknowledged that \_\_\_\_\_ executed it.  
WITNESS my hand and official seal.

\_\_\_\_\_  
Notary's Signature

## FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT (\$) 40.00

Complete if Known:

Application No. 09/037,586  
Filing Date 3/9/98  
First Named Inventor Li, et al.  
Group Art Unit 1743  
Examiner Name Unknown  
Attorney Docket No. 65730.P024X

### METHOD OF PAYMENT (check one)

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
- Deposit Account Number \_\_\_\_\_  
Deposit Account Name \_\_\_\_\_
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 and credit any over payments to Deposit Account Number 02-2666
- ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.131(b)
2. ☒ Payment Enclosed  
☒ Check  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Other

### FEE CALCULATION (fees effective 10/01/97)

#### 1. FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
101	790	201	395	Utility application filing fee	_____
106	330	206	165	Design application filing fee	_____
107	540	207	270	Plant filing fee	_____
108	790	208	395	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____
SUBTOTAL (1)					\$ <u>0</u>

#### 2. CLAIMS

			Extra		Fee from below		Fee Paid
Total Claims	_____	- 20	=	_____	X	_____	= _____
Independent Claims	_____	- 3	=	_____	X	_____	= _____
Multiple Dependent Claims	_____			_____	X	_____	= _____

Large Entity		Small Entity		Fee Description	Fee Paid
Code	Fee (\$)	Code	Fee (\$)		
103	22	203	11	Claims in excess of twenty	_____
102	82	202	41	Independent claims in excess of 3	_____
104	270	204	135	Multiple dependent claim	_____
109	82	209	41	Reissue independent claims over original patent	_____
110	22	210	11	Reissue claims in excess of 20 and over original patent	_____
SUBTOTAL (2)					\$ <u>0</u>

### FEE CALCULATION (continued)

12/01/97

PTO/SB/17 (10-96)



### 3. ADDITIONAL FEES

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	400	216	200	Extension for response within second month	
117	950	217	475	Extension for response within third month	
118	1,510	218	755	Extension for response within fourth month	
128	2,060	228	1,030	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,320	241	660	Petition to revive unintentionally abandoned application	
142	1,320	242	660	Utility issue fee (or reissue	
143	450	243	225	Design issue fee	
144	670	244	335	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	790	246	395	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	790	249	395	For each additional invention to be examined (see 37 CFR 1.129(a))	
Other fee (specify) _____					
Other fee (specify) _____					
SUBTOTAL (3)\$ 40.00					

#### SUBMITTED BY:

Typed or Printed Name: Michael J. Mallie

Signature

Date

Reg. Number 36,591

Deposit Account User ID

(complete if applicable)

#### FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

on

Date of Deposit

Cheri Clinkenbeard

Name of Person Mailing Correspondence

Signature

Date

RECORDED: 07/27/1998

PATENT  
REEL: 9346 FRAME: 0702