

09-02-1998



Practitioner's Docket No. SD5661

100805269

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box: Assignments
Assistant Commissioner for Patents
Washington, D.C. 20231

NOTE: "Documents and cover sheets to be recorded should be addressed to Assistant Commissioner for Patents, Box Assignments, Washington, D.C. 20231, unless they are filed together with new applications or with a petition under § 3.81(b)." 37 CFR § 3.27

ASSIGNMENT(DOCUMENT) COVER SHEET (37 CFR 3.31)

NOTE: "A cover sheet may not refer to both patents and trademarks." 27 CFR 3.31(b)

Attached please find an assignment (document) for recordal.

FYI

AUG 14 1998

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CERTIFICATION UNDER 37 CFR 1.8(A) AND 1.10 BOX INTERFERENCE

(When using Express Mail, the Express Mail label number is **mandatory**;
Express Mail certification is optional)

I hereby certify that, on the date shown below, the correspondence is being:

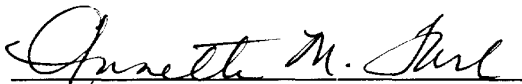
MAIL

- ☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231
37 CFR (1.8(a))
- ☐ with sufficient postage as first class mail
- ☒ as "Express Mail Post Office to Addressee"
Label No. **EM365696380US**

37 CFR 1.10*

TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office.


Signature

Date: August 13, 1998

Annette M. Turk, Legal Assistant

(typed name)

***WARNING:** Each paper or fee filed by Express Mail must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).
"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

NOTE: See 37 CFR 3.21.

1. This assignment is for the following patent application and/or issued patent:

Provisional application Serial No. , filed on

International application PCT/US_____, international filing date _____

Patent No. _____, issued on _____

(Complete if applicable) which was previously assigned and recorded

Date _____ Reel _____; Frame _____

(also complete the following, if applicable)

- Number of pages added: two

TOTAL NUMBER OF APPLICATIONS AND/OR PATENTS AND TOTAL FEE (37 CFR 3.28 (a)(6))

2. A. The total number of applications and/or patents identified in this cover sheet is **one**.

- B. The total fee is (37 CFR 1.21(h)):

$$1 \times \$40.00 = \$40.00$$

(Total number of Applications and/or Patents)

- C. Payment of fee is made by: ☐ The attached check for \$_____
- ☒ Please charge Account 13-4213. A duplicate of this cover sheet is attached.

Please charge Account 13-4213 for any fee deficiency or credit to account any overpayment.

NOTE: "The term 'party' as used in this rule (§ 3.31) means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the documents." Notice of June 24, 1992 (1140 Q.G. 63-72, at 65).

3. The party(ies) conveying interest is (are):

2

PATENT
REEL: 9411 FRAME: 0776

NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST 37 CFR 3.31(a)(2))

4. The rights are being conveyed to:

Name: **SANDIA CORPORATION**
Address: Post Office Box 5400, Mail Stop 0161
Albuquerque, New Mexico 87185-0161

DESCRIPTION OF INTEREST CONVEYED OR TRANSACTION RECORDED (37 CFR 3.31(a)(3))

5. ☒ an assignment ☐ a security agreement
☐ a merger ☐ a license
☐ a change of name ☐ a change of address
☐ other: _____

**NAME AND ADDRESS OF PARTY TO WHOM CORRESPONDENCE
SHOULD BE MAILED (37 CFR 3.31(a)(5))**

6. Please address correspondence to:
JEFFREY D. MYERS, Reg. No. 35,964
PEACOCK, MYERS & ADAMS, P.C.
Post Office Box 26927
Albuquerque, New Mexico 87125-6927
Telephone: (505) 998-1500; direct line: (505) 998-1502

DATE ASSIGNMENT (DOCUMENT) EXECUTED (37 CFR 3.31(a)(7))

7. The attached assignment (document) was executed on August 11, 1998, and August 13, 1998

LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED

NOTE: "The Office will accept and record non-English language documents only if accompanied by a verified English translation signed by the individual making the translation." 37 CFR 3.26.

8. The attached document:
☒ is in the English language
☐ is not in the English language and a verified English translation signed by the individual making the translation is attached.

ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

NOTE: See 37 CFR 3.24.

9. Submitted herewith is:

- ☒ the original document
☐ a true copy of the original document, which I certify to be a true copy.

NOTE: "If the original [assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 CFR § 3.24] by providing a true copy of the or original document using only one side of each page on the correct size paper." Notice of June 24, 1992, 1140 O.G. 63-76, at 67.

NOTE: "Certification shall be made by the person submitting a copy of an original document that the document submitted is a true copy of the original. The certification is not required to be in an oath or declaration form." MPEP, 6th ed. § 302.01.

ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF ADDRESS

(check item, if applicable)

10. ☐ Because the purpose of the attached documents is to record a change of address of the assignee, the particulars of the previously recorded assignment(s) for each application and/or patent are shown.

ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF NAME

(check item, if applicable)

11. ☐ Because the purpose of the attached document is to record a change of name of the assignee, the particulars of the previously recorded assignment(s) for each application and/or patent are shown.

CHANGE OF PATENT MAINTENANCE FEE ADDRESS

(check item, if applicable)

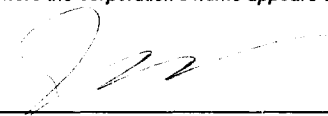
12. ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent to the Office separately.

STATEMENT (37 CFR 3.31(a)(9)) AND SIGNATURE (37 CFR 3.31(a)(10))

13. 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.

NOTE: *"The term 'party' as used in this rule [§ 4.41] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where the corporation's name appears on the document."* Notice of June 24, 1992, 1140 O.G. 63-76, at 65.

Date: August 13, 1998



Jeffrey D. Myers
PEACOCK, MYERS & ADAMS, P.C.
Post Office Box 26927
Albuquerque, New Mexico 87125-6927
Direct line: (505) 998-1502

Reg. No. 35,964

Telephone: (505) 998-1500

Customer No. 005179

TOTAL NUMBER OF PAGES BEING SUBMITTED

14. The total number of pages being submitted, including cover sheet attachment(s), and documents are: seven

[F:\ANNETTE\SD5661-AssignCover.PTO.doc] 05661-1001

SD-5661/S-83.672
August 11, 1998

ASSIGNMENT

WHEREAS, James G. Fleming, Elizabeth Roherty-Osmun, Paul M. Smith, Jonathan S. Custer and Ronald V. Jones of Albuquerque, New Mexico, made an invention relating to "Synthesis of W-Si-N Films by Chemical Vapor Deposition Using WF_6 , SiH_4 and NH_3 " in the course of the work authorized by Contract DE-AC04-94AL85000 between SANDIA CORPORATION and the UNITED STATES DEPARTMENT OF ENERGY, said invention being disclosed and claimed in an application for United States patent (U.S. Serial No. 08/717,316 filed by Marc-A. Nicolet, et al., on September 20, 1996), identified as DOE Docket No. S-83,672 duly executed by said inventors.

WHEREAS Inventor(s), in consideration of employment by Sandia Corporation, has(have) agreed, among other things, to assign to Sandia Corporation, its successors and assigns, all rights to inventions, discoveries, or improvements made or conceived in the course of their employment; and

WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy has granted a waiver of Government rights in the above-identified invention to Sandia Corporation under Class Waiver W(C)93-012; and

THEREFORE, Inventor(s) hereby sells, assigns, and transfers unto Sandia Corporation their entire right, title, and interest in and to said invention and in and to all resulting patents, wherever they may be granted, as well as reissues or extensions of said patents.

Inventor(s) covenants with Sandia Corporation that, except for the rights, if any, of the Government, his/her interest in the rights and property herein conveyed is free and clear of any encumbrance and that they have full right to convey the same as herein expressed. They agree, at the request of Sandia corporation, to make, execute, and deliver to Sandia Corporation, the Government, or other party prosecuting patent applications on this invention, any and all papers, documents, affidavits, applications, statements or other instruments relating to said invention, take all rightful oaths and do all acts as may reasonably be required of them in or incident to the prosecution of any or all applications on said invention or in the adjustment or settlement of any interferences or other actions or proceedings that said applications or patents thereon may encounter or in which they may become involved.

Signed at Albuquerque, New Mexico, this 13th day of August, 1998.

James G. Fleming

Date

8/11/98

Elizabeth Roherty-Osmun

Date

8/11/98

Paul M. Smith

Date

8/11/98

Jonathan S. Custer

Date

8/13/98

Ronald V. Jones

Date

STATE OF NEW MEXICO)

) ss:

COUNTY OF BERNALILLO)

On the _____ day(s) of August, 1998, personally appeared before me, Viola Campos, Notary Public, James G. Fleming, Elizabeth Roherty-Osmun, Paul M. Smith, Jonathan S. Custer and Ronald V. Jones to me known to be the individual described in and who executed the foregoing instrument, and who acknowledged to me that they executed the same.

Notary Public

Approved and consented to this 13 day of August, 1998.

SANDIA CORPORATION

Timothy D. Stanley
Chief Patent Counsel
Patent and Licensing Office, MS 0161