

10-28-1998



100861898

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of: ) Group Art Unit: 1753  
 )  
 Smith Jr. et al. ) Examiner:  
 )  
 Serial No.: 09/064,970 ) RECORDATION OF ASSIGNMENT  
 )  
 Filed: April 23, 1998 )  
 )  
 Atty. File No.: PEAK-001PR13 )  
 )  
 For: "METHOD AND APPARATUS FOR )  
 MONITORING PLASMA )  
 PROCESSING OPERATIONS" )

CERTIFICATE OF MAILING

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231 ON October 8, 1998.

McINTOSH & DOCKERY LLC

BY: Janelle Fast  
 Janelle Fast

BOX ASSIGNMENTS  
 Assistant Commissioner  
 for Patents  
 Washington, D.C. 20231

Dear Sir:

Please record the attached original documents or copy thereof:

1. Name of conveying party(ies):

Michael L. Smith, Jr.  
 Joel O. Stevenson  
 Pamela P. Ward

2. Name and address of receiving party(ies):

Sandia Corporation  
 P.O. Box 5800 - MS 0161  
 Albuquerque, NM 87185-0161

3. Nature of Conveyance:

Assignment  Merger  
 Security Agreement  Change of Name  
 Other: \_\_\_\_\_

Execution Date: July 29, 1998

4. Application number(s) or patent number(s)

**(09064970)**

If this document is being filed together with a new application, the execution date of the application is:

40.00 DP  
 09/28/1998 JMW/KLS 00000029 09064970  
 01 FC:581

m&D 10-13-98

A. Patent Application No.(s): 09/064,970

B. Patent No.(s): None.

5. Name and address of party to whom correspondence concerning documents should be mailed:

James L. Johnson, P.C.  
c/o Technology Management Advisors LLC  
8000 E. Prentice Ave., B-6  
Englewood, Colorado 80111

6. Total number of applications and patents involved:  
1.

7. Total fee (37 CFR 3.41).....\$40.00.

Enclosed

Authorized to be charged to deposit account.

8. Deposit account number: \_\_\_\_\_.

9. Statement and signature.

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.

Total number of pages including cover sheet, attachments and document: 4

Respectfully submitted,

McINTOSH & DOCKERY LLC

By: 

Michael D. McIntosh  
Registration No. 26,305  
8000 E. Prentice Ave.,  
Suite B-6  
Englewood, CO 80111  
(303) 689-9120

Date: 10/8/98

## ASSIGNMENT

WHEREAS, Michael Lane Smith, Jr., and Joel O'Don Stevenson, of Albuquerque, New Mexico and Pamela Peardon Denise Ward of Rio Rancho, New Mexico has(have) made an invention relating to METHOD AND APPARATUS FOR MONITORING PLASMA PROCESSING OPERATIONS 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, identified as DOE Docket No: S-85,056 and further identified as Attorney File No. PEAK-001PR13 duly executed by said inventors on June 24, 1998, and June 24, 1998; and June 28, 1998.

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

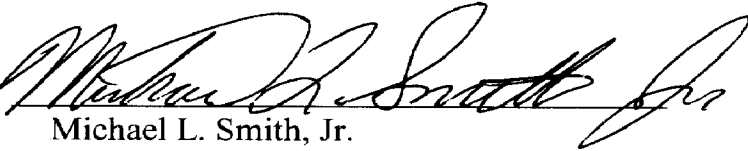
WHEREAS, the Government of the United States, as represented by the U.S. Department of Energy has granted a waiver of Government rights in the above-identified invention to Sandia Corporation under Class Waiver W(C)93-012, effective October 1, 1993; and

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.

Date: 7/29/98

By:   
Michael L. Smith, Jr.

Date: 7/29/98

By:   
Joel O. Stevenson

Date: 7/29/98

By:   
Pamela P. Ward

STATE OF NEW MEXICO )

) ss:

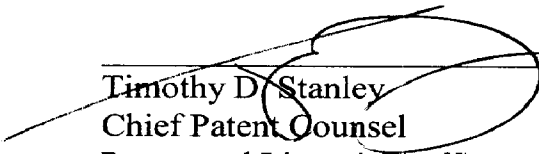
COUNTY OF BERNALILLO )

On the dates indicated above personally appeared before me, Lisa R. Oliver, Notary Public, Michael Lane Smith, Jr., Joel O. Stevenson, and Pamela P. Ward to me known to be the individual(s) 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 29<sup>th</sup> day of July, 1998.

SANDIA CORPORATION

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