



11-12-1998

FLH Ref. No.: 450100-4424



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HEET

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)

OWA Hideo, KOBAYASHI Shoei, SENSYU Susumu,
KATSURAMOTO Shinji, WATANABE Toshio,
MORI Hidenori, YAMAMOTO Masanobu,
SAITO MasakiAdditional name(s) of conveying party(ies) attached?
☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: SONY CORPORATION
7-35 Kitashinagawa 6-chome
Shinagawa-Ku, Tokyo 100-31, JapanAdditional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment
☐ Security Agreement
☐ Merger
☐ Change of Name
☐ Other

Execution Date(s): July 13, July 13, July 13, July 13, July
13, July 13, July 13, and July 21, 1998, respectively

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) 09/078,191 filed May 13, 1998

Additional numbers attached? ☐ Yes ☒ No5. Name and address of party to whom correspondence
concerning document should be mailed:

Name: WILLIAM S. FROMMER

Internal Address: FROMMER LAWRENCE & HAUG LLP

Street Address: 745 FIFTH AVENUE

City: NEW YORK State: N.Y. Zip: 10151

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 50-03208. Deposit account number:
(Attach duplicate copy of this page if paying by deposit
account)

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9. Statement and signature.

08/04/1998 I, William S. Frommer, do hereby certify, under oath and belief, the foregoing information is true and correct and any attached copy is a true
copy of the original document.

02 FC:581

for William S. Frommer
Name of Person Signing

Signature

July 27, 1998

Date

Total number of pages including cover
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PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project (0651-0011),
Washington, D.C. 20503.

ASSIGNMENT

WHEREAS, I, as below named inventors, residing at the addresses stated next to our names, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in

APPARATUS FOR RECORDING AND/OR REPRODUCING DATA ONTO AND/OR FROM AN OPTICAL DISK AND METHOD THEREOF

for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, SONY CORPORATION, a Japanese corporation, with offices at 7-35 Kitashinagawa 6-Chome, Shinagawa-Ku, Tokyo, Japan (hereinafter referred to as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: Serial Number: 09/078,191, Filing Date: May 13, 1998.

This assignment executed on the dates indicated below.

Hideo OWA	<u>July 13, 1998</u>
Name of first or sole inventor	Execution date of U.S. Patent Application
Kanagawa, Japan	
Residence of first or sole inventor	
<u>Hideo Owa</u>	<u>July 13, 1998</u>
Signature of first or sole inventor	Date of this assignment
Shoei KOBAYASHI	<u>July 13, 1998</u>
Name of second inventor	Execution date of U.S. Patent Application
Kanagawa, Japan	
Residence of second inventor	
<u>Shoei Kobayashi</u>	<u>July 13, 1998</u>
Signature of second inventor	Date of this assignment
Susumu SENSU	<u>July 13, 1998</u>
Name of third inventor	Execution date of U.S. Patent Application
Kanagawa, Japan	
Residence of third inventor	
<u>Susumu Sensu</u>	<u>July 13, 1998</u>
Signature of third inventor	Date of this assignment

Shinji KATSURAMOTO

July 13, 1998

Name of fourth inventor

Execution date of U.S. Patent Application

Chiba, Japan

Residence of fourth inventor

Shinji Katsuramoto

July 13, 1998

Signature of fourth inventor

Date of this assignment

Toshio WATANABE

July 13, 1998

Name of fifth inventor

Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of fifth inventor

Toshio Watanabe

July 13, 1998

Signature of fifth inventor

Date of this assignment

Hidenori MORI

July 13, 1998

Name of sixth inventor

Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of sixth inventor

Hidenori Mori

July 13, 1998

Signature of sixth inventor

Date of this assignment

Masanobu YAMAMOTO

July 13, 1998

Name of seventh inventor

Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of seventh inventor

Masanobu Yamamoto

July 13, 1998

Signature of seventh inventor

Date of this assignment

Masaki SAITO

July 21, 1998

Name of eighth inventor

Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of eighth inventor

Masaki Saito

July 21, 1998

Signature of eighth inventor

Date of this assignment

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Hideo OWA et al.

Serial No. : 09/078,191

Filed : May 13, 1998

For : APPARATUS FOR RECORDING AND/OR REPRODUCING DATA
ONTO AND/OR FROM AN OPTICAL DISK AND METHOD
THEREOF

Art Unit : 2722

745 Fifth Avenue
New York, New York 10151
Tel. (212) 588-0800

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, D.C. 20231, on November 3, 1998

William S. Frommer, Reg. No. 25,506

Name of Applicant, Assignee or
Registered Representative


Signature

November 3, 1998
Date of Signature

COMMUNICATION

U.S. PATENT AND TRADEMARK OFFICE
ASSIGNMENT DIVISION
BOX ASSIGNMENTS,
CG-4, 1213 Jefferson Davis Hwy, Suite 320
Washington, D.C. 20231
Attn: KIMBERLY WHITE, EXAMINER

Sir:

We are resubmitting the Assignment documents that were
returned to us recently as the list of names of the conveying
parties indicated on the Recordation Cover Sheet was not
complete.

The original Recordation Cover Sheet has been
completed in accordance with the guidance provided under 1 of the



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

OCTOBER 26, 1998

FROMMER, LAWRENCE & HAUG LLP
WILLIAM S. FROMMER
745 FIFTH AVENUE
NEW YORK, N.Y. 10151

PTAS



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**UNITED STATES PATENT AND TRADEMARK OFFICE
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KIMBERLY WHITE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

RECORDED: 11/03/1998

**PATENT
REEL: 9568 FRAME: 0585**