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3-31-92



U.S. DEPARTMENT OF COMMERCE  
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IT

100959533

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

1. Name of conveying party(ies):  
 James R. Lewis, Julia E. Maners, Kerry A. Ortega, Michael P. Perrone, Eugene H. Ratzlaff, Jayashree Subrahmonia, Ron Van Buskirk, Huifang Wang

Additional name(s) of conveying party(ies) attached?  Yes  No

2. Name and address of receiving party(ies):  
 Name: International Business Machines Corporation  
Armonk, New York 10504

3. Nature of conveyance:  
 Assignment  Merger  
 Security Agreement  Change of Name  
 Other \_\_\_\_\_

Execution Date: January 27, 28, 1999

Additional name(s) & address(es) attached:  
 Yes  No

JCS10 U.S. PTO  
 09/240146  
 01/29/99

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: January 27, 28, 1999

A. Patent Application No. (s)  
 B. Patent No. (s)

Additional numbers attached?  Yes  No

6. Total number of applications and patents involved: 1

5. Name and address of party to whom correspondence concerning document should be mailed:  
 Name: Frank Chau, Esq.  
 Street Address: F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Turnpike, Suite 501  
 City: East Meadow State: NY Zip: 11554

7. Total fee (37 C.F.R. \$3.41): \$40.00  
 Enclosed  
 Authorized to be charged to deposit account

8. Deposit account number:  
50-0510/IBM (Yorktown Heights)  
 (Attach duplicate copy of this page if paying by deposit account)

02/05/1999 SBURMS 00000020 500310 09240146  
 01 FC:581 40.00 CH

DO NOT USE THIS SPACE

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.

Frank Chau  
Registration No. 34,136  
 Name of Person Signing [Signature] Signature 1/29/99 Date

Total number of pages including cover sheet, attachments and documents: 7

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 Washington, D.C. 20231

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# Assignment

Whereas, we

Inventor  
and City

(1) **James R. Lewis**  
County of **Palm Beach**

of **Delray Beach**  
and State of **Florida**

and (2) **Julia E. Maners**  
County of **Palm Beach**

of **Boca Raton**  
and State of **Florida**

and (3) **Kerry A. Ortega**  
County of **Broward**

of **Deerfield Beach**  
and State of **Florida**

and (4) **Michael P. Perrone**  
County of **Westchester**

of **Yorktown**  
and State of **New York**

and (5) **Eugene H. Ratzlaff**  
County of **Dutchess**

of **Hopewell Junction**  
and State of **New York**

and (6) **Jayashree Subrahmonia**  
County of **Westchester**

of **White Plains**  
and State of **New York**

and (7) **Ron Van Buskirk**  
County of **Martin**

of **IndianTown**  
and State of **Florida**

and (8) **Huifang Wang**  
County of **Palm Beach**

of **West Palm Beach**  
and State of **Florida**

have invented certain improvements in  
**SYSTEM AND METHOD FOR AUTOMATIC QUALITY ASSURANCE OF USER  
ENROLLMENT IN A RECOGNITION SYSTEM**

TITLE

and executed, respectively, a United States patent application therefor on  
DATES THAT (1) 1999 and (2) 1999 and (3) 1999  
INVENTORS (4) January 28, 1999, and (5) January 28, 1999, and (6) January 28, 1999.  
SIGNED THE  
DECLARATION

Whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York,  
having a place of business at Armonk, New York 10504, (hereinafter called IBM) desires to  
acquire the entire right, title and interest in the said application and invention, and to any  
United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we the above  
named, hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right,  
title and interest in the said application and invention therein disclosed for the United States  
and foreign countries, and all rights of priority resulting from the filing of said United States  
application, and we request the Commissioner of Patents to issue any Letters Patent granted upon  
the inventions set forth in said application to IBM, its successors and assigns; and we hereby  
agree that IBM may apply for foreign Letters Patent on said invention and we will execute all  
papers necessary in connection with the United States and foreign applications when called upon  
to do so by IBM.

Signed and sealed  
CITY (1) at \_\_\_\_\_ SIGNATURE  
DATE on 1999, (**James R. Lewis**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (2) at \_\_\_\_\_ SIGNATURE  
DATE on 1999, (**Julia E. Maners**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (3) at \_\_\_\_\_ SIGNATURE  
DATE on 1999, (**Kerry A. Ortega**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (4) at Yorktown Hgts., NY \_\_\_\_\_ SIGNATURE  
DATE on January 28, 1999, (**Michael P. Perrone**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (5) at Yorktown Hgts., NY \_\_\_\_\_ SIGNATURE  
DATE on January 28 1999, (**Eugene H. Ratzlaff**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (6) at Yorktown Hgts., NY \_\_\_\_\_ SIGNATURE  
DATE on January 28, 1999, (**Jayashree Subrahmonia**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
 CITY and (7) at \_\_\_\_\_ SIGNATURE  
 DATE on 1999, (Ron Van Buskirk) INVENTOR  
 FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
 CITY and (8) at \_\_\_\_\_ SIGNATURE  
 DATE on 1999, (Huifang Wang) INVENTOR  
 FIRST NAME MIDDLE INITIAL LAST NAME

State of ) SS.:  
 County of )

INVENTOR (1) On this \_\_\_\_\_ day of \_\_\_\_\_ 1999, before me personally came **James R. Lewis** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

\_\_\_\_\_  
 Notary

State of ) SS.:  
 County of )

INVENTOR (2) On this \_\_\_\_\_ day of \_\_\_\_\_ 1999, before me personally came **Julia E. Maners** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

\_\_\_\_\_  
 Notary

State of ) SS.:  
 County of )

INVENTOR (3) On this \_\_\_\_\_ day of \_\_\_\_\_ 1999, before me personally came **Kerry A. Ortega** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

\_\_\_\_\_  
 Notary

State of New York ) SS.:  
 County of Westchester )

INVENTOR (4) On this 28th day of January 1999, before me personally came **Michael P. Perrone** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

Lucille Fourgeot  
 LUCILLE FOURGEOT  
 NOTARY PUBLIC, State of New York  
 No. 4502670  
 Qualified in Westchester County  
 Commission Expires 06/30/99

State of New York ) SS.:  
 County of Westchester )

INVENTOR (5) On this 28th day of January 1999, before me personally came **Eugene H. Ratzlaff** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

Lucille Fourgeot  
 LUCILLE FOURGEOT  
 NOTARY PUBLIC, State of New York  
 No. 4502670  
 Qualified in Westchester County  
 Commission Expires 06/30/99

State of New York ) SS.:  
 County of Westchester )

INVENTOR (6) On this 28th day of January 1999, before me personally came **Jayashree Subrahmonia** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

Lucille Fourgeot  
 LUCILLE FOURGEOT  
 NOTARY PUBLIC, State of New York  
 No. 4502670  
 Qualified in Westchester County  
 Commission Expires 06/30/99

Lucille Fourgeot  
 Notary  
**PATENT**  
 REEL: 9739 FRAME: 0787

State of ) ss.:  
County of )

On this \_\_\_\_\_ day of \_\_\_\_\_ 1999, before me personally came  
INVENTOR **Ron Van Buskirk** to me personally know, and known to me to be the  
(7) person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.

\_\_\_\_\_  
Notary

State of ) ss.:  
County of )

On this \_\_\_\_\_ day of \_\_\_\_\_ 1999, before me personally came  
INVENTOR **Huifang Wang** to me personally know, and known to me to be the  
(8) person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.

\_\_\_\_\_  
Notary

# Assignment

Whereas, we

Inventor  
and City

(1) James R. Lewis  
County of Palm Beach

of Delray Beach  
and State of Florida

and (2) Julia E. Maners  
County of Palm Beach

of Boca Raton  
and State of Florida

and (3) Kerry A. Ortega  
County of Broward

of Deerfield Beach  
and State of Florida

and (4) Michael P. Perrone  
County of Westchester

of Yorktown  
and State of New York

and (5) Eugene H. Ratzlaff  
County of Dutchess

of Hopewell Junction  
and State of New York

and (6) Jayashree Subrahmonia  
County of Westchester

of White Plains  
and State of New York

and (7) Ron Van Buskirk  
County of Martin

of IndianTown  
and State of Florida

and (8) Huifang Wang  
County of Palm Beach

of West Palm Beach  
and State of Florida

have invented certain improvements in

TITLE

**SYSTEM AND METHOD FOR AUTOMATIC QUALITY ASSURANCE OF USER  
ENROLLMENT IN A RECOGNITION SYSTEM**

and executed, respectively, a United States patent application therefor on  
DATES THAT (1) 1/27 1999 and (2) 1/28/99 1999 and (3) 1/27/99 1999  
INVENTORS (4) 1999, and (5) 1999, and (6) 1999.  
SIGNED THE (7) 1/28/1999 (8) 1/28/1999  
DECLARATION

Whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York,  
having a place of business at Armonk, New York 10504, (hereinafter called IBM) desires to  
acquire the entire right, title and interest in the said application and invention, and to any  
United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we the above  
named, hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right,  
title and interest in the said application and invention therein disclosed for the United States  
and foreign countries, and all rights of priority resulting from the filing of said United States  
application, and we request the Commissioner of Patents to issue any Letters Patent granted upon  
the inventions set forth in said application to IBM, its successors and assigns; and we hereby  
agree that IBM may apply for foreign Letters Patent on said invention and we will execute all  
papers necessary in connection with the United States and foreign applications when called upon  
to do so by IBM.

CITY (1) at West Palm Beach, FL Signed and sealed  
DATE on 1/27 1999, James R. Lewis SIGNATURE  
(James R. Lewis) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

CITY and (2) at Boca Raton, FL Signed and sealed  
DATE on 1/28/99 1999, Julia E. Maners SIGNATURE  
(Julia E. Maners) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

CITY and (3) at West Palm Beach, FL Signed and sealed  
DATE on 1/27/99 1999, Kerry A. Ortega SIGNATURE  
(Kerry A. Ortega) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

CITY and (4) at Signed and sealed  
DATE on 1999, \_\_\_\_\_ SIGNATURE  
(Michael P. Perrone) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

CITY and (5) at Signed and sealed  
DATE on 1999, \_\_\_\_\_ SIGNATURE  
(Eugene H. Ratzlaff) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

CITY and (6) at Signed and sealed  
DATE on 1999, \_\_\_\_\_ SIGNATURE  
(Jayashree Subrahmonia) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
 CITY and (7) at WEST PALM BEACH, FLORIDA Ron Van Buskirk SIGNATURE  
 DATE on 1/28/1999, (Ron Van Buskirk) INVENTOR  
 FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
 CITY and (8) at West Palm Beach, Florida Huifang Wang SIGNATURE  
 DATE on 1/28/1999, (Huifang Wang) INVENTOR  
 FIRST NAME MIDDLE INITIAL LAST NAME

State of Florida ) ss.:  
 County of Palm Beach )

INVENTOR (1)  
 On this 30th day of Florida 1999, before me personally came **James R. Lewis** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

Bette Sikes  
 Notary Public BETTE SIKES  
 COMMISSION # CC 680234  
 EXPIRES OCT 30, 2001  
 BONDED THRU ATLANTIC BONDING CO., INC

State of Florida ) ss.:  
 County of Palm Beach )

INVENTOR (2)  
 On this 28 day of January 1999, before me personally came **Julia E. Maners** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and she acknowledged to me that she executed the same as his free act and deed.

Kathryn J. Rishoff  
 Notary Public KATHRYN J. RISHOFF  
 COMMISSION # CC 43877  
 EXPIRES February 9, 1999  
 Bonded Thru Notary Public Underwriters

State of Florida ) ss.:  
 County of Palm Beach )

INVENTOR (3)  
 On this 20th day of January 1999, before me personally came **Kerry A. Ortega** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

Bette Sikes  
 Notary Public BETTE SIKES  
 COMMISSION # CC 680234  
 EXPIRES OCT 30, 2001  
 BONDED THRU ATLANTIC BONDING CO., INC

State of ) ss.:  
 County of )

INVENTOR (4)  
 On this day of 1999, before me personally came **Michael P. Perrone** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

Notary

State of ) ss.:  
 County of )

INVENTOR (5)  
 On this day of 1999, before me personally came **Eugene H. Ratzlaff** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

Notary

State of ) ss.:  
 County of )

INVENTOR (6)  
 On this day of 1999, before me personally came **Jayashree Subrahmonia** to me personally know, and known to me to be the person described in and who executed the foregoing assignment, and he acknowledged to me that he executed the same as his free act and deed.

Notary

State of Florida ) SS.:  
County of Polk )

INVENTOR  
(7)

On this 28th day of January 1999, before me personally came  
**Ron Van Buskirk** to me personally know, and known to me to be the  
person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.

*Bette Sikes*

Notary

State of Florida ) SS.:  
County of Polk )

INVENTOR  
(8)

On this 28th day of January 1999, before me personally came  
**Huifang Wang** to me personally know, and known to me to be the  
person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.



**BETTE SIKES**  
COMMISSION # CC 680234  
EXPIRES OCT 30, 2001  
BONDED THRU  
ATLANTIC BONDING CO., INC

*Bette Sikes*

Notary



**BETTE SIKES**  
COMMISSION # CC 680234  
EXPIRES OCT 30, 2001  
BONDED THRU  
ATLANTIC BONDING CO., INC