

FORM PTO-1619A
Expires 06/30/99
OMB 0651-0027

09-17-1998

02-16-1999



100831005

100969386

FEB 08 1999

**RECORDATION FORM COVER SHEET
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- ☒ New
- ☐ Resubmission (Non-Recordation)
Document ID#
- ☐ Correction of PTO Error
Reel # Frame #
- ☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☒ Assignment ☐ Security Agreement
- ☐ License ☐ Change of Name
- ☐ Merger ☐ Other
- U.S. Government**
(For Use ONLY by U.S. Government Agencies)
- ☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Execution Date
Month Day Year

Name (line 1)

Name (line 2)

Second Party

Execution Date
Month Day Year

Name (line 1)

Name (line 2)

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

FOR OFFICE USE ONLY

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

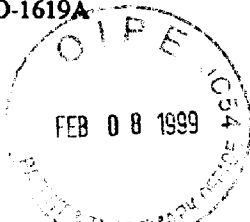
PATENT

REEL: 9748 FRAME: 0666

00000034 5436427

01/17/1998 JMB

01 FC:581



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U.S. Government
(For Use ONLY by U.S. Government Agencies)

☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) Tracelell Enclosures, Inc. Execution Date Month Day Year 08311998

Name (line 2) _____

Second Party

Name (line 1) _____ Execution Date Month Day Year _____

Name (line 2) _____

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) Tracewell Systems, Inc. ☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2) _____

Address (line 1) 567 Enterprise Drive

Address (line 2) _____

Address (line 3) Westerville OH 43081
City State/Country Zip Code

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name _____

Address (line 1) _____

Address (line 2) _____

Address (line 3) _____

Address (line 4) _____

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Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Correspondent Name and Address

Area Code and Telephone Number (614) 436-0600

Name Gerald L. Smith

Address (line 1) Mueller and Smith L.P.A.

Address (line 2) Mueller-Smith Building

Address (line 3) 7700 Rivers Edge Drive

Address (line 4) Columbus Ohio 43235

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

2

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

5416427

5168171

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number only if a U.S. Application Number has not been assigned.

PCT PCT PCT
PCT PCT PCT

Number of Properties

Enter the total number of properties involved.

2

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 80.00

Method of Payment:
Deposit Account

Enclosed ☒ Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

13-4830

Authorization to charge additional fees:

Yes ☒ No ☐

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. Charges to deposit account are authorized, as indicated herein.

Gerald L. Smith
Name of Person Signing

Signature

Date

CONFIRMATORY ASSIGNMENT

Whereas Tracewell Enclosures, Inc., a corporation of the State of Ohio, having a place of business at 567 Enterprise Drive, Columbus, Ohio 43081, herein called "Assignor", is the owner of all right title and interest in and to the following United States Patents:

U. S. Patent No. 5,168,171, issued December 1, 1992
for "Enclosure for Circuit Modules", by Tracewell

U. S. Patent No. 5,416,427 issued May 16, 1995
entitled "Test and Development Apparatus for Bus-Based Circuit Modules with Open Side and
Backplane Access Features", by Tracewell.

Whereas, Tracewell Systems, Inc., a corporation in the State of Delaware, having a place of business at 567 Enterprise Drive, Columbus, Ohio 43081, herein called "Assignee", is desirous of acquiring the entire right title and interest in and to the above-identified two United States Patents and the invention underlying them;

Whereas, Tracewell Enclosures, Inc. has carried out such an arrangement effective as of May 29, 1998; and

Whereas the parties hereto wish to confirm and record such arrangement;

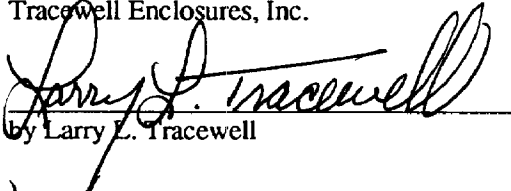
NOW, THEREFORE To All Whom It May Concern be it known that, for and in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt of which is hereby acknowledged, Assignor has sold, assigned, and transferred, and by these presents does sell, assign, and transfer unto said Assignee, its entire right title and interest in and to the invention shown, described in the above-identified patents; and in and to any extensions, reissues, divisions, or renewals thereof.

Assignor further covenants and agrees that it will, at the request and expense of the said Assignee, execute such further assurances of title as may be necessary or proper to fully convey the interest sought to be conveyed; that it will, at the request and expense of the said Assignee, execute such papers concerning the patents as may be desired by the said Assignee for the filing of any renewal of the patents herein conveyed, or for the reissue or extension of any thereof; and will execute such supplemental oaths and preliminary statements, or other papers as desired by the said Assignee.

Assignor further assigns unto said Assignee its whole right title and interest to the invention disclosed in the above-identified United States Patents throughout all countries foreign to the United States, and does hereby authorize the said Assignee to apply for patents therefor in its own name in countries where such procedures is proper and to claim the benefit of the International Convention and Assignor agrees to execute applications for the said inventions in the several countries where it is necessary that the same be executed by the Assignee of all right title and interest and to execute assignments of such applications and the patents to be obtained therefor to the said Assignee, as well as all other necessary papers.

IN TESTIMONY WHEREOF, I have hereunto set my hand at Columbus, this 31st day of August, 1998.

Tracewell Enclosures, Inc.

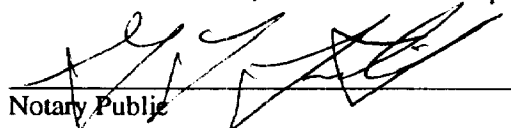

by Larry L. Tracewell

STATE OF Ohio

COUNTY OF Franklin)

) SS.

The forgoing instrument was acknowledged before me this 31st day of August, 1998 by Larry L. Tracewell, President of Tracewell Enclosures, Inc., a corporation of the State of Ohio, on behalf of the corporation


Notary Public

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

U. S. Patent No. 5,168,171 and 5,416,427

Filed: December 1, 1992 and May 16, 1995

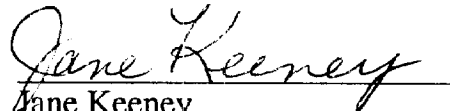
Mark: "Enclosure for Circuit Modules" and "Test and Development Apparatus for Bus-Based Circuit Modules with Open Side and Backplane Access Features"

Box Assignments
ASSISTANT COMMISSIONER FOR PATENTS
Washington, D. C. 20231

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

Date of Deposit: Oct 9, 1998

I hereby certify that this Recordation is being deposited with the United States Postal Service First Class Mail on the date indicated above, addressed to: Box Assignments, Assistant Commissioner for Patents, Washington, D. C., 20231.


Jane Keeney

FEB 08 1999

Correspondent Name and Address

Area Code and Telephone Number (614) 436-0600

Name Gerald L. Smith

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PCT

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PCT

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Enter the total number of properties involved.

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Fee Amount for Properties Listed (37 CFR 3.41): \$ 80.00

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Deposit Account

Enclosed ☒ Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

13-4830

Authorization to charge additional fees:

Yes ☒

No ☐

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. Charges to deposit account are authorized, as
indicated herein.

Gerald L. Smith
Name of Person Signing

Signature

Date

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.
These are the fees effective October 1, 1997.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) 80.00

Complete If Known

| | |
|----------------------|----------------------------|
| Application Number | 5,168,171 & 5,416,427 |
| Filing Date | 12-1-92 and 5-6-95 |
| First Named Inventor | Tracewell Enclosures, Inc. |
| Examiner Name | |
| Group / Art Unit | |
| Attorney Docket No. | TRA2-004 and TRA 2-006 |

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 13-4830
Deposit Account Name Mueller and Smith

☒ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:
☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 790 201 395 | | Utility filing fee | |
| 106 330 206 165 | | Design filing fee | |
| 107 540 207 270 | | Plant filing fee | |
| 108 790 208 395 | | Reissue filing fee | |
| 114 150 214 75 | | Provisional filing fee | |

SUBTOTAL (1) (\$) --

2. EXTRA CLAIM FEES

| Total Claims | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent Claims | -20** | X | |
| Multiple Dependent | -3** | X | |

**or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description |
|----------------------------|----------------------------|--|
| 103 22 203 11 | | Claims in excess of 20 |
| 102 82 202 41 | | Independent claims in excess of 3 |
| 104 270 204 135 | | Multiple dependent claim, if not paid |
| 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) (\$) --

FEE CALCULATION (continued)

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 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 reply within first month | |
| 116 400 216 200 | | Extension for reply within second month | |
| 117 950 217 475 | | Extension for reply within third month | |
| 118 1,510 218 755 | | Extension for reply within fourth month | |
| 128 2,060 228 1,030 | | Extension for reply 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 - unavoidable | |
| 141 1,320 241 660 | | Petition to revive - unintentional | |
| 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) | 80 |
| 146 790 246 395 | | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 790 249 395 | | For each additional invention to be examined (37 CFR 1.129(b)) | |

Other fee (specify) _____

Other fee (specify) _____

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 80.00

SUBMITTED BY

Typed or Printed Name Gerald L. Smith

Signature

Date 9/9/98

Complete (if applicable)

Reg. Number 22,009

Deposit Account User ID

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



① \$
**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

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

JANUARY 21, 1999

PTAS



100831005A

MUELLER AND SMITH L.P.A.
GERALD L. SMITH
MUELLER-SMITH BUILDING
7700 RIVERS EDGE DRIVE
COLUMBUS, OHIO 43235

199 0 0 1999
**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF NON-RECORDATION OF DOCUMENT**

DOCUMENT ID NO.: 100831005

THE ENCLOSED DOCUMENT HAS BEEN EXAMINED AND FOUND NON-RECORDABLE BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. THE REASON(S) FOR NON-RECORDATION ARE STATED BELOW. DOCUMENTS BEING RESUBMITTED FOR RECORDATION MUST BE ACCOMPANIED BY A NEW COVER SHEET REFLECTING THE CORRECT INFORMATION TO BE RECORDED AND THE DOCUMENT ID NUMBER REFERENCED ABOVE.

THE ORIGINAL DATE OF FILING OF THIS ASSIGNMENT DOCUMENT WILL BE MAINTAINED IF RESUBMITTED WITH THE APPROPRIATE CORRECTION(S) WITHIN 30 DAYS FROM THE DATE OF THIS NOTICE AS OUTLINED UNDER 37 CFR 3.51. THE RESUBMITTED DOCUMENT MUST INCLUDE A STAMP WITH THE OFFICIAL DATE OF RECEIPT UNDER 37 CFR 3. APPLICANTS MAY USE THE CERTIFIED PROCEDURES UNDER 37 CFR 1.8 OR 1.10 FOR RESUBMISSION OF THE RETURNED PAPERS, IF THEY DESIRE TO HAVE THE BENEFIT OF THE DATE OF DEPOSIT IN THE UNITED STATES POSTAL SERVICE.

SEND DOCUMENTS TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231. IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE, YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.

1. THE COVER SHEET SUBMITTED FOR RECORDING IS NOT ACCEPTABLE. AN EXECUTION DATE MUST BE INDICATED FOR EACH CONVEYING PARTY.

MARY BENTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

RECEIVED

JAN 2 1999

MUELLER AND SMITH LPA

RECORDED: 02/08/1999

PATENT
REEL: 9748 FRAME: 0673