

02-22-1999



100969177

PATENT

Docket No.: U 012102-6

Box Patent Application
Commissioner of Patents
and Trademarks
Washington, D.C. 20231

COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING
NEW PATENT APPLICATION (37 CFR 3.31)



IDENTIFICATION OF APPLICATION (37 CFR 3.21
and 37 CFR 3.31(a)4))

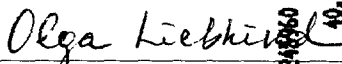
1. The patent application filed herewith and to which the attached assignment (document) refers is identified as follows:

- a. Date of execution: December 15, 1998.
- b. Name of each inventor:
 - 1. CHI-MING SHIH
 - 2. TZE-HONG WONG
 - 3. CHEN-DAO SHAO
 - 4. CHENG-KUNG CHENG
 - 5. CHIH-MING WU
 - 6. WEI-TAI JAO

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this "Cover Sheet for Assignment (Document) Accompanying New Patent Application", along with any document referred to, is being deposited with the United States Postal Service on this date February 5, 1999 in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EJ405330645US addressed to the: Commissioner of Patents and Trademarks, Washington, D.C. 20231

Olga Liebkind
(type or print name of person mailing paper)


(Signature of person mailing paper)

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 CFR 1. cannot be used to obtain a date of mailing or transmission for this correspondence.

(Cover Sheet for Assignment Accompanying New Patent Application [4-2.] —page 1 of 4)

PATENT

REEL: 9762 FRAME: 0988

02/17/1999 JWP/ELNS 0000064 09245960 40.0000

c. Title of invention: ANTERIOR SPINAL FIXATION SYSTEM

NOTE: "If an assignment is executed concurrently with, or subsequent to the execution of the patent application, but before the patent application is filed, it must identify the patent application by its date of execution, name of each inventor, and title of the invention so that there can be no mistake as to the patent application intended." 37 CFR 3.21.

Name of Party(ies) Conveying Interest (37 CFR 3.31(a)(1))

2. The party(ies) conveying this interest is (are):

1. CHI-MING SHIH
2. TZE-HONG WONG
3. CHEN-DAO SHAO
4. CHENG-KUNG CHENG
5. CHIH-MING WU
6. WEI-TAI JAO

Name and Address of Party(ies) Receiving Interest (37 CFR 3.31(a)(2))

3. The rights are being conveyed to:

Name: INDUSTRIAL TECHNOLOGY RESEARCH INSTITUTE

- 4.
- 5.
- 6.

Address: NO. 195, SEC. 4,
CHUNG-HSING ROAD,
CHUTUNG, HSINCHU COUNTY, Taiwan (R.O.C.)

Telephone No.: ()

Description of Interest Conveyed or Transaction Recorded (37 CFR 3.31(a)(3))

4. The accompanying document intends to accomplish:

(Cover Sheet for Assignment Accompanying New Patent Application [4-2.3]—page 2 of 4)

- ☒ an assignment.
- ☐ a security agreement.
- ☐ a license.
- ☐ a merger.
- ☐ 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))

5. Please address correspondence to:

Name: William R. Evans
Address: Ladas & Parry
26 West 61 Street
New York, NY 10023
Telephone No.: (212) 708- 1930

Date Assignment (Document) Executed (37 CFR 3.31(a)(7))

6. The attached assignment (document) was executed on December 15, 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

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: "Either the original document or a true copy of the original document may be submitted for recording. Only one side of each page shall be used. The paper used should be flexible, strong, white, non-shiny, durable, and preferably no larger than 21.6 x 33.1 cm. (8½ x 14 inches) with a 2.5 cm. (one-inch) margin on all sides." 37 CFR 3.24.

7. Submitted herewith is:

- ☒ the original document.
- ☐ a true copy of the original document.

NOTE: "If the original[assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 C.F.R. §3.24] by providing a true copy of the 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.

(Cover Sheet for Assignment Accompanying New Patent Application [4-2.3]—page 3 of 4)

Number of Applications Identified in this Cover Sheet and the Fee (37 CFR 3.31(a)(6))

8. A. This cover sheet identifies only one application:

B. The fee for recordal (37 CFR 1.21(h)) is \$40.00

☒ Attached is a check for \$40.00

☐ Please charge Account 12-0425 \$40.00.
A duplicate of this cover sheet is attached.

Statement (37 CFR 3.31(a)(9)) and Signature (37 CFR 3.31(a)(10))

9. 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.

Date: February 5, 1999

(Name of party submitting document)

(Signature of party submitting document)

(Complete the following if the party submitting the document is applicant's attorney)

(Signature of attorney)

Reg. No.

Tel. No.

WILLIAM R. EVANS
c/o LADAS & PARRY
26 West 61st Street
New York, N.Y. 10023
Reg. No. 25,858
(212) 708-1930

TOTAL NUMBER OF PAGES BEING SUBMITTED

10. The total number of pages being submitted, including cover sheet, attachment(s), and document(s) are:

Number of pages submitted six

For Inventions made outside USA
executed with application

Atty. Dkt. _____
M# _____ / Client Ref. _____

USA Patent Appln.
Sole or Joint

ASSIGNMENT

In consideration of the sum of Ten Dollars (\$10.00) and other good and valuable consideration paid to each of the undersigned, to wit:

Insert Name(s)
of inventors

- | | |
|--------------------------|----------------------------------|
| (1) <u>CHI-MING SHIH</u> | (4) <u>CHENG-KUNG CHENG</u> |
| (2) <u>TZE-HONG WONG</u> | (5) <u>CHIH-MING WU</u> |
| (3) <u>CHEN-DAO SHAO</u> | [] x box if continued on page 2 |

the receipt and sufficiency of which are hereby acknowledged by the undersigned who at the request of, hereby sell(s), assign(s) and transfer(s) unto:

Insert Name(s)
of Assignee(s)
and Address(es)

INDUSTRIAL TECHNOLOGY RESEARCH INSTITUTE
NO. 195, SEC. 4, CHUNG-HSING ROAD, CHUTUNG,
HSINCHU, TAIWAN, R.O.C.

(hereinafter designated "ASSIGNEE") the entire right, title and interest for the United States of America as defined in 35 U.S.C. 100, in the invention and all applications including any and all divisions, continuations, substitutes, and reissues thereof; and all resulting patents, known as

Title of
Invention

"ANTERIOR SPINAL FIXATION SYSTEM"

NOTE ->->->
(Complete line
A, B and/or C)

- (A) for which the undersigned executed an application for Letters Patent of the United States of America [] even date herewith
(B) [] on _____
(C) in U.S. Appln No. _____ / _____ filed _____

AND the undersigned hereby authorize(s) and request(s) the United States Commissioner of Patents and Trademarks to issue said Letters Patent to the said ASSIGNEE, for its interest as ASSIGNEE, its successors, assigns and legal representatives; the undersigned agree(s) that the attorneys of record in said application shall hereafter act on behalf of said ASSIGNEE;

AND the undersigned hereby agree(s) to testify and execute any papers for ASSIGNEE, its successors, assigns and legal representatives, deemed essential by ASSIGNEE to ASSIGNEE'S full protection and title in and to the invention hereby transferred.

INVENTOR(S)	DATE SIGNED	WITNESS(ES)
1) <u>Chi-Ming Shih</u> Name: CHI-MING SHIH	<u>15 December 1998</u>	
2) <u>TZE-HONG WONG</u> Name: TZE-HONG WONG	<u>15 December 1998</u>	
3) <u>Chen-Dao Shao</u> Name: CHEN-DAO SHAO	<u>15 December 1998</u>	
4) <u>Chengkung Cheng</u> Name: CHENG-KUNG CHENG	<u>15 December 1998</u>	
5) <u>Chih-Ming Wu</u> Name: CHIH-MING WU	<u>15 December 1998</u>	

IF ADDITIONAL INVENTORS, check box [] and continue on page 2

Assignment

(Continued from page 1)

Listing of additional inventors

(6) WEI-TAI JAO	(11)
(7)	(12)
(8)	(13)
(9)	(14)
(10)	(15)

Signatures of additional inventors/witnesses/dates signed

<u>INVENTOR(S)</u>	<u>DATE SIGNED</u>	<u>WITNESS(ES)</u>
6) Wei-Tai Jao Name: WEI-TAI JAO	15 December 1998	
7) _____ Name: _____	_____	_____
8) _____ Name: _____	_____	_____
9) _____ Name: _____	_____	_____
10) _____ Name: _____	_____	_____
11) _____ Name: _____	_____	_____
12) _____ Name: _____	_____	_____
13) _____ Name: _____	_____	_____
14) _____ Name: _____	_____	_____
15) _____ Name: _____	_____	_____