



04-13-1999



101007398

Docket No: L09-97-046

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

1. Name of conveying parties: Execution Dates
Jeffrey J. Buxton March 24, 1999
Charles E. Grindel March 30, 1999
Jennifer L. Pinkus March 23, 1999
Jonathan P. Booth March 30, 1999
Douglass J. Wilson March 17, 1999

Additional Name(s) of conveying party(ies) attached? ☐ Yes ☒ No

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

Name: International Business Machines Corp.
Street Address:
City: Armonk State: NY Zip:

Additional name(s) & address(es) attached? ☐ Yes ☒ No3. Nature of conveyance: Assignment

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):
09/222,520

B. Patent No.(s):

Additional Numbers Attached? ☐ Yes ☒ No

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

Customer Number: **021127****021127**

PATENT AND TRADEMARK OFFICE

6. Total number of applications and patents involved: 17. Total Fee (37 C.F.R. §3.41) \$ 40.00☐ Enclosed☒ Authorized to be charged to deposit Account

8. Deposit account number:

DA-12-2158

(Attach duplicate copy of this page if paying by deposit account)

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.

Bruce D. Jobse, Esq. Reg. No. 33,518
Name of Person Signing

Bruce D. Jobse
Signature

4/5/99
Date

Total number of pages including cover sheet, attachments and document: 13

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02 13:58 40.00 CH

ASSIGNMENT OF PATENT APPLICATION

Docket No. L09-97-046

Applicant: Jeffrey J. Buxton, Charles E. Grindel, Jennifer L. Pinkus, Jonathan P. Booth And
Douglass J. Wilson
Serial No 09/222,520
Filed: December 29, 1998
For: INFOCENTER USER INTERFACE FOR APPLETS AND COMPONENTS
Examiner: Not Yet Assigned
Art Unit: 2755

Whereas we, the undersigned, have made certain inventions or discoveries (or both) set forth in an application for Letters Patent of the United States of America entitled, INFOCENTER USER INTERFACE FOR APPLETS AND COMPONENTS, the specification of which was filed on December 29, 1998 and assigned Application Serial No. 09/222,520;

Whereas International Business Machines Corporation, a New York corporation having a place of business at Armonk, New York, and which, together with its successors and assigns, is hereinafter called "Assignee," is desirous of acquiring the title, rights, benefits and privileges hereinafter recited;

Now, therefore, for valuable consideration furnished by Assignee to us, receipt and sufficiency of which is hereby acknowledged, we do hereby, without reservation:

1. Assign, transfer and convey to Assignee the entire right, title and interest in and to said inventions and discoveries, said application for Letters Patent of the United States of America, any and all other applications for Letters Patent on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation, Convention and non-Convention applications based in whole or in part upon said inventions or discoveries, or upon said applications, and any and all Letters Patent, reissues, reexaminations, and extensions of Letters Patent granted for said inventions and discoveries or upon said applications, and every priority right that is or may be predicated upon or arise from said inventions, said discoveries, said applications and said Letters Patent;
2. Authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;
3. Authorize and request the Commissioner of Patents and Trademarks of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as Assignee may direct;

4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to Assignee without encumbrance;
5. Bind our heirs, legal representatives and assigns, as well as ourselves, to do, upon Assignee's request and at Assignee's expense, but without additional consideration to us or them, all acts reasonably serving to assure that the said inventions and discoveries, the said patent applications and the said Letters Patent shall be held and enjoyed by Assignee as fully and entirely as the same could have been held and enjoyed by our heirs, legal representatives and assigns if this assignment had not been made; and particularly to execute and deliver to Assignee all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by Assignee; to communicate to Assignee all facts known to us relating to said inventions and discoveries or the history thereof; and to furnish Assignee with any and all documents, photographs, models, samples and other physical exhibits in our control or in the control of our heirs, legal representatives or assigns which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

In testimony of which we have executed this Assignment of Patent Application on the date indicated next to our names.

Jeffrey J. Buxton Date: 3/24/1999
Jeffrey J. Buxton
Inventor

State of Massachusetts }
County of Middlesex } ss

On this 24th day of March, 1999, before me appeared **Jeffrey J. Buxton**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Elizabeth A. Hart
Notary Public
Elizabeth A. Hart
NOTARY PUBLIC

[seal]

☒ Known to me personally ☒ My commission expires Sept. 11, 2003 ☐ Identification produced: _____

☒ Additional assignor name sheets attached.

Assignment 2 of 4

PATENT
REEL: 9871 FRAME: 0167

ASSIGNMENT - SUPPLEMENTAL ASSIGNOR SHEET

Second Assignor

Date: _____

Charles E. Grindel
Inventor

State of _____ }
County of _____ } ss

On this _____ day of _____, 19____, before me appeared **Charles E. Grindel**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Notary Public [seal]

☐ Known to me personally

☐ Identification produced: _____

Third Assignor

Jennifer L. Pinkus _____ Date: 3/23/99
Jennifer L. Pinkus

Inventor

State of Massachusetts }
County of Middlesex } ss

On this 23 day of March, 1999, before me appeared **Jennifer L. Pinkus**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Elizabeth A. Hart _____ [seal]
Notary Public Elizabeth A. Hart
NOTARY PUBLIC
My Commission expires Sept. 11, 2003

☐ Known to me personally

☒ Identification produced: Lotus Badge

Assignment 3 of 4

PATENT
REEL: 9871 FRAME: 0168

Fourth Assignor

Jonathan P. Booth

Date: 3/30/99

Jonathan P. Booth
Inventor

State of New Hampshire } ss
County of Rockingham

On this 30 day of March, 1999, before me appeared **Jonathan P. Booth**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

[Signature]

[seal]

Notary Public MY COMMISSION EXPIRES: AUG 16, 2000

☐ Known to me personally

☒ Identification produced: OH DJL 06BH J53081
EXP. 6802

Fifth Assignor

[Signature]

Date: 3/17/99

Douglass J. Wilson
Inventor

State of Massachusetts } ss
County of Middlesex

On this 17th day of March, 1999, before me appeared **Douglass J. Wilson**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

[Signature]

[seal]

Notary Public Elizabeth A. Hall
NOTARY PUBLIC

☐ Known to me personally My commission expires Sept. 11, 2003

☒ Identification produced: Lotus Badge

Assignment 4 of 4

PATENT
REEL: 9871 FRAME: 0169

ASSIGNMENT OF PATENT APPLICATION

Docket No. L09-97-046

Applicant: Jeffrey J. Buxton, Charles E. Grindel, Jennifer L. Pinkus, Jonathan P. Booth And
Douglass J. Wilson
Serial No 09/222,520
Filed: December 29, 1998
For: INFOCENTER USER INTERFACE FOR APPLETS AND COMPONENTS
Examiner: Not Yet Assigned
Art Unit: 2755

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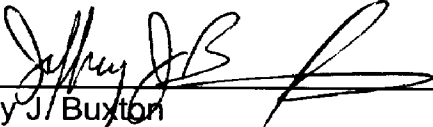
Whereas International Business Machines Corporation, a New York corporation having a place of business at Armonk, New York, and which, together with its successors and assigns, is hereinafter called "Assignee," is desirous of acquiring the title, rights, benefits and privileges hereinafter recited;

Now, therefore, for valuable consideration furnished by Assignee to us, receipt and sufficiency of which is hereby acknowledged, we do hereby, without reservation:

1. Assign, transfer and convey to Assignee the entire right, title and interest in and to said inventions and discoveries, said application for Letters Patent of the United States of America, any and all other applications for Letters Patent on said inventions and discoveries in whatsoever countries, including all divisional, renewal, substitute, continuation, Convention and non-Convention applications based in whole or in part upon said inventions or discoveries, or upon said applications, and any and all Letters Patent, reissues, reexaminations, and extensions of Letters Patent granted for said inventions and discoveries or upon said applications, and every priority right that is or may be predicated upon or arise from said inventions, said discoveries, said applications and said Letters Patent;
2. Authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;
3. Authorize and request the Commissioner of Patents and Trademarks of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as Assignee may direct;

4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to Assignee without encumbrance;
5. Bind our heirs, legal representatives and assigns, as well as ourselves, to do, upon Assignee's request and at Assignee's expense, but without additional consideration to us or them, all acts reasonably serving to assure that the said inventions and discoveries, the said patent applications and the said Letters Patent shall be held and enjoyed by Assignee as fully and entirely as the same could have been held and enjoyed by our heirs, legal representatives and assigns if this assignment had not been made; and particularly to execute and deliver to Assignee all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by Assignee; to communicate to Assignee all facts known to us relating to said inventions and discoveries or the history thereof; and to furnish Assignee with any and all documents, photographs, models, samples and other physical exhibits in our control or in the control of our heirs, legal representatives or assigns which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

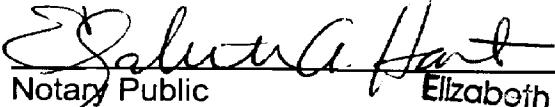
In testimony of which we have executed this Assignment of Patent Application on the date indicated next to our names.


Jeffrey J. Buxton
Inventor

Date: 3/24/1999

State of Massachusetts } ss
County of Middlesex }

On this 24th day of March, 1999, before me appeared **Jeffrey J. Buxton**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.


Notary Public **Elizabeth A. Hart**
NOTARY PUBLIC

[seal]

☒ Known to me personally ☒ My commission expires Sept. 11, 2003 ☐ Identification produced: _____

☒ Additional assignor name sheets attached.

ASSIGNMENT - SUPPLEMENTAL ASSIGNOR SHEET

Second Assignor

Date: _____

Charles E. Grindel
Inventor

State of _____ }
County of _____ } ss

On this ____ day of _____, 19____, before me appeared **Charles E. Grindel**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Notary Public [seal]

☐ Known to me personally

☐ Identification produced: _____

Third Assignor

Jennifer L. Pinkus
Date: 3/23/99

Jennifer L. Pinkus
Inventor

State of Massachusetts }
County of Middlesex } ss

On this 23 day of March, 1999, before me appeared **Jennifer L. Pinkus**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Elizabeth A. Hart
Notary Public Elizabeth A. Hart
NOTARY PUBLIC
My commission expires Sept. 11, 2003 [seal]

☐ Known to me personally

☒ Identification produced: Lotus Badge

Fourth Assignor

Date: _____

Jonathan P. Booth
Inventor

State of _____ }
County of _____ } ss

On this ____ day of _____, 19____, before me appeared **Jonathan P. Booth**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.


[seal]

Notary Public

☐ Known to me personally

☐ Identification produced: _____


Fifth Assignor


Douglass J. Wilson
Inventor

Date: 3/17/99

State of Massachusetts }
County of Middlesex } ss

On this 17th day of March, 1999, before me appeared **Douglass J. Wilson**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.


Elizabeth A. Hart
NOTARY PUBLIC

[seal]

☐ Known to me personally My commission expires Sept. 11, 2003

☒ Identification produced: Lotus Bldg

ASSIGNMENT OF PATENT APPLICATION

Docket No. L09-97-046

Applicant: Jeffrey J. Buxton, Charles E. Grindel, Jennifer L. Pinkus, Jonathan P. Booth And
Douglass J. Wilson
Serial No 09/222,520
Filed: December 29, 1998
For: INFOCENTER USER INTERFACE FOR APPLETS AND COMPONENTS
Examiner: Not Yet Assigned
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2. Authorize Assignee to file patent applications in any or all countries on any or all of said inventions and discoveries in our names or in the name of Assignee or otherwise as Assignee may deem advisable, under the International Convention or otherwise;
3. Authorize and request the Commissioner of Patents and Trademarks of the United States of America and the empowered officials of all other governments to issue or transfer all said Letters Patent to Assignee, as assignee of the entire right, title and interest therein or otherwise as Assignee may direct;

Assignment 1 of 4

PATENT
REEL: 9871 FRAME: 0174

4. Warrant that we have not knowingly conveyed to others any right in said inventions, discoveries, applications or patents or any license to use the same or to make, use or sell anything embodying or utilizing any of said inventions or discoveries; and that we have good right to assign the same to Assignee without encumbrance;
5. Bind our heirs, legal representatives and assigns, as well as ourselves, to do, upon Assignee's request and at Assignee's expense, but without additional consideration to us or them, all acts reasonably serving to assure that the said inventions and discoveries, the said patent applications and the said Letters Patent shall be held and enjoyed by Assignee as fully and entirely as the same could have been held and enjoyed by our heirs, legal representatives and assigns if this assignment had not been made; and particularly to execute and deliver to Assignee all lawful application documents including petitions, specifications, and oaths, and all assignments, disclaimers, and lawful affidavits in form and substance as may be requested by Assignee; to communicate to Assignee all facts known to us relating to said inventions and discoveries or the history thereof; and to furnish Assignee with any and all documents, photographs, models, samples and other physical exhibits in our control or in the control of our heirs, legal representatives or assigns which may be useful for establishing the facts of our conceptions, disclosures, and reduction to practice of said inventions and discoveries.

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Jeffrey J. Buxton Date: 3/24/1999
Jeffrey J. Buxton
Inventor

State of Massachusetts } ss
County of Middlesex }

On this 24th day of March, 1999, before me appeared **Jeffrey J. Buxton**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

Elizabeth A. Hart
Notary Public Elizabeth A. Hart
NOTARY PUBLIC

[seal]

☒ Known to me personally ☒ My commission expires Sept. 11, 2003 Identification produced: _____

☒ Additional assignor name sheets attached.

Assignment 2 of 4

PATENT
REEL: 9871 FRAME: 0175

ASSIGNMENT - SUPPLEMENTAL ASSIGNOR SHEET

Second Assignor

Charles E. Grindel

Charles E. Grindel
Inventor

Date: 3/30/1999

State of MA }
County of SUFFOLK } ss



On this 30 day of March, 1999, before me appeared **Charles E. Grindel**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

[Signature]

Notary Public

VICTOR ZIMMERMAN, Notary Public
My Commission Expires March 19, 2004

☐ Known to me personally

☒ Identification produced: MDL # 162663016

Third Assignor

Jennifer L. Pinkus

Jennifer L. Pinkus
Inventor

Date: 3/23/99

State of Massachusetts }
County of Middlesex } ss

On this 23 day of March, 1999, before me appeared **Jennifer L. Pinkus**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.

[Signature]

Notary Public

Elizabeth A. Hart
NOTARY PUBLIC
My commission expires Sept. 11, 2003

[seal]

☐ Known to me personally

☒ Identification produced: Lotus Badge

Assignment 3 of 4

PATENT
REEL: 9871 FRAME: 0176

Fourth Assignor

Jonathan P. Booth
Inventor

Date: _____

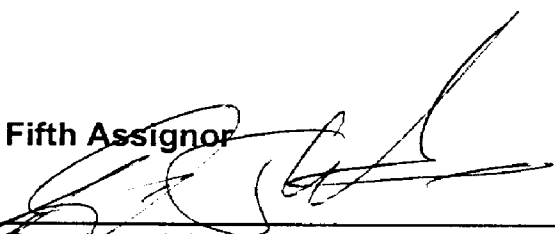
State of _____ }
County of _____ } ss

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Notary Public [seal]

☐ Known to me personally ☐ Identification produced: _____

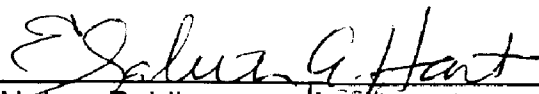
Fifth Assignor


Douglass J. Wilson
Inventor

Date: 3/17/99

State of Massachusetts }
County of Middlesex } ss

On this 17th day of March, 1999, before me appeared **Douglass J. Wilson**, to me known and known to me to be the person described in, and who executed the foregoing instrument, and he acknowledged the same to be his free act and deed.


Elizabeth A. Hunt
Notary Public

[seal]

☐ Known to me personally ☒ Identification produced: Lotus Bldg

My commission expires Sept. 11, 2003

Assignment 4 of 4