

07-26-1999

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FORMPTO-1595
(Rev. 6-83)

OMB No. 0651-0011 (exp. 4/94)

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RECORDATION FORM COVER SHEET
PATENTS ONLYU.S. DEPARTMENT OF COMMERCE
Patent and Trademark

Tab settings 000

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

1. Name of conveying party(ies):

Kazuhide KUBOTA

Kiyohiko TAKEMOTO

Shinichi KATO

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

2. Name and address of receiving party(ies)

Name: Seiko Epson Corporation

Internal Address: _____

Street Address: 4-1, Nishi-Shinjuku 2-Chome,
Shinjuku-Ku
Tokyo-to, JAPAN

City: _____ State: _____ ZIP: _____

Additional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance: 40

☐ Assignment☐ Merger☐ Security Agreement☐ Change of Name☒ Other See attached sheet

Execution Date: April 27, 1998

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)

08/939,033

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Clifford J. Mass

Registration No. 30,086

Internal Address: LADAS & PARRY

26 West 61st Street

New York, NY 10023

(212) 708-1890

Street Address: _____

City: _____ State: _____ ZIP: _____

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

8. Deposit account number:

12-0425

(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.

CLIFFORD J. MASS

PATENT July 26, 1999

REEL: 009972 FRAME: 0872

3. Nature of Conveyance: (Cont'd)

Document previously recorded at Reel 9409 Frame 0634 contained an error in property no: 08/939,077. Document re-recorded to correct error on stated reel and also to correct surname of the first named assignor.

IN THE U

09-02-1998

TRADEMARK OFFICE

Box Assignments
Commissioner of Patents
Washington, D.C. 20531



100805685



NOTE: "Documents and cover sheets to be recorded should be addressed to Assistant Commissioner for Patents, Box Assignments, Washington, D.C. 20231, unless they are filed together with new applications or with a petition under § 3.81(b)." 37 CFR 3.27.

ASSIGNMENT (DOCUMENT) COVER SHEET (37 CFR 3.31)

NOTE: "A cover sheet may not refer to both patents and trademarks." 37 CFR 3.31(b).

Attached please find an assignment (document) for recordal.

8-21-98

CERTIFICATION 37 CFR 1.8(a) and 1.10

I hereby certify that this correspondence is, on the date shown below, being:

MAILING

☒ deposited with the United States Postal Service in an envelope addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

37 CFR 1.8(a)

☒ with sufficient postage as first class mail.

37 CFR 1.10

☐ as "Express Mail Post Office to Addressee"
Mailing Label No. _____

TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Janet I. Cord

Date: August 18, 1998

JANET I. CORD

(type or print name of person certifying)

(Assignment (Document) Cover Sheet [18-6] — page 1 of 6)

PATENT

REEL: 9409 FRAME: 0634

PATENT
REEL: 009972 FRAME: 0874

**IDENTIFICATION OF APPLICATION(S) AND/OR PATENT(S)
FOR ASSIGNMENT (DOCUMENT) RECORDAL
(37 CFR 3.21 and 37 CFR 3.31(a)(4))**

NOTE: "An assignment relating to a patent must identify the patent by the patent number. An assignment relating to a national patent application must identify the national patent application by the application number (consisting of the series code and the serial number, e.g., 07/123,456) or the serial number and the filing date. An assignment relating to an international patent application which designates the United States of America must identify the international application by the international application number (e.g., PCT/US90/01234)." 37 CFR 3.21.

NOTE: § 3.21 does not apply to documents other than assignment. Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

1. This assignment is for the following patent application and/or issued patent:

National application: SN: 08/939,077 filed on September 26, 1997

Provisional application: / filed on

International application: PCT/ /

Patent No: Issued:

(complete if applicable) which was previously assigned and recorded

Date _____

Reel _____

Frame _____

(also complete the following, if applicable)

- ☐ and also for the applications and/or patents
shown on the attached list of FURTHER
APPLICATION(S) and/or PATENT(S) BEING ASSIGNED

Number of pages added _____

NOTE: "Where there is a listing of properties contained within a document, any listing may be copied and attached to the cover sheet to reduce the amount of typing necessary. A notation of this attachment can be made in lieu of entering every property identification number on the cover sheet. Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

**TOTAL NUMBER OF APPLICATIONS AND/OR PATENTS
AND TOTAL FEE (37 CFR 3.28(a)(5))**

2. A. The total number of applications and/or patents identified in this cover sheet is
ONE (1)

B. The total fee is (37 CFR 1.21(h)):

1 × \$40.00 = \$ 40.00
Total number of applications
and/or patents

(Assignment (Document) Cover Sheet [16-6]—page 2 of 6)

PATENT
REEL: 9409 FRAME: 0635

PATENT
REEL: 009972 FRAME: 0875

C. Payment of fee is made by:

☒ the attached check for \$ 40.00

☐ Please charge Account _____
the sum of \$ _____

A duplicate of this cover sheet is attached.

Please charge Account 12-0425 for any fee deficiency or credit to
account any overpayment.

NAME OF PARTY(IES) CONVEYING INTEREST

(37 CFR 3.31(a)(1))

NOTE: "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the documents." Notice of June 24, 1992 (1140 O.G. 63-72, at 65).

3. The party(ies) conveying interest is (are):

Name 1: Kazuhide KUBOTO

Name 2: Kiyohiko TAKEMOTO

Name 3: Shinichi KATO

NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST

(37 CFR 3.31(a)(2))

4. The rights are being conveyed to:

Name: SEIKO EPSON CORPORATION

Address: 4-1, Nishi-shinjuku 2-chome,
Shinjuku-ku, Tokyo-to, JAPAN

(Assignment (Document) Cover Sheet [18-6]—page 3 of 6)

PATENT
REEL: 9409 FRAME: 0636

PATENT
REEL: 009972 FRAME: 0876

**DESCRIPTION OF INTEREST CONVEYED OR
TRANSACTION RECORDED (37 CFR 3.31(a)(3))**

5. The accompanying document intends to accomplish:

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

6. Please address correspondence to:

Name: CLIFFORD J. MASS
C/O LADAS & PARRY
Address: 26 WEST 61st STREET
NEW YORK, NEW YORK 10023
Telephone No.: (212) 708-1890

**DATE ASSIGNMENT (DOCUMENT) EXECUTED
(37 CFR 3.31(a)(7))**

7. The attached assignment (document) was executed on APRIL 27, 1998
(date)

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.

8. 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.

(Assignment (Document) Cover Sheet [16-6]—page 4 of 6)

PATENT
REEL: 9409 FRAME: 0637

PATENT
REEL: 009972 FRAME: 0877

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. (8 1/2 x 14 inches) with a 2.5 cm. (one-inch) margin on all sides." 37 CFR 3.24.

9. Submitted herewith is:

- ☒ the original document.
☐ a true copy of the original document, which I certify to be a true copy.

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.

NOTE: "Certification shall be made by the person submitting a copy of an original document that the document submitted is a true copy of the original. The certification is not required to be in an oath or declaration form." M.P.E.P., 6th ed., § 302.01.

ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF ADDRESS

(check item, if applicable)

10. ☐ Because the purpose of the attached documents is to record a change of address of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF NAME

(check item, if applicable)

11. ☐ Because the purpose of the attached documents is to record a change of name of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

CHANGE OF PATENT MAINTENANCE FEE ADDRESS

(check item, if applicable)

12. ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent to the Office separately.

(Assignment (Document) Cover Sheet [16-6]—page 5 of 6)

PATENT
REEL: 9409 FRAME: 0638

PATENT
REEL: 009972 FRAME: 0878

**STATEMENT (37 CFR 3.31(a)(9)) AND
SIGNATURE (37 CFR 3.31(a)(10))**

13. 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.

NOTE: "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the document." Notice of June 24, 1992, 1140 O.G. 63-78, at 65.

Date: AUGUST 18, 1998

Name of party submitting document

Signature of party submitting document

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

Clifford J. Mass by Opened Cord
reg. No. 33,778

SIGNATURE OF ATTORNEY

Clifford J. Mass

Registration No. 30,086

(type or print name) ANDREW PARRY

26 West 61st Street

New York, NY 10023

P.O. Address (212) 708-1890

Reg. No.:

Tel. No.: ()

TOTAL NUMBER OF PAGES BEING SUBMITTED

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

NINE (9)

Total number of pages submitted

(Assignment (Document) Cover Sheet [16-6]—page 8 of 6)

PATENT
REEL: 9409 FRAME: 0639

PATENT
REEL: 009972 FRAME: 0879

PATENT

For: ☒ U.S. and/or ☐ Foreign Rights
For: ☒ U.S. Application or ☐ U.S. Patent
By: Multiple Inventors

ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

ASSIGNORS (inventors):

Kazuhide KUBOTA

(Type or print name of inventors)

c/o Seiko Epson Corporation,
3-5, Owa 3-chome, Suwa-shi,
Nagano-ken, Japan Japan

Address

Nationality

Kiyohiko TAKEMOTO

c/o Seiko Epson Corporation,
3-5, Owa 3-chome, Suwa-shi,
Nagano-ken, Japan Japan

Shinichi KATO

c/o Seiko Epson Corporation,
3-5, Owa 3-chome, Suwa-shi,
Nagano-ken, Japan Japan

(Assignment of Invention—Multiple Inventors [18-3.2]—page 1 of 3)

PATENT

REEL: 9409 FRAME: 0640

PATENT

REEL: 009972 FRAME: 0880

hereby sells, assigns and transfers to

ASSIGNEE:
SEIKO EPSON CORPORATION
(Type or print name of ASSIGNEE)

4-1, Nishi-shinjuku 2-chome, Shinjuku-
ku, Tokyo-to, Japan Japan
Address Nationality

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

- ☒ the entire right, title and interest
☐ an undivided _____ percent (____ %) interest

for the United States and its territorial possessions

(check the following box if foreign rights are also to be assigned)

- ☐ and in all foreign countries

in and to, any and all improvements which are disclosed in the invention entitled:

INK JET RECORDING METHOD

(check and complete (a), (b), (c) or (d))

and which is found in

- (a) ☐ U.S. patent application executed on even date herewith
(b) ☐ U.S. patent application executed on _____
(c) ☒ U.S. application serial no. 08/939,033 filed on September 26, 1997
(d) ☐ U.S. patent no. _____ issued _____

(check (e) if foreign application(s) is also being assigned)

- (e) ☐ and any legal equivalent thereof in a foreign country, including the right to claim priority

(Assignment of Invention—Multiple Inventors [16-3.2]—page 2 of 3)

PATENT
REEL: 9409 FRAME: 0641

PATENT
REEL: 009972 FRAME: 0881

and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any re-issue or re-examination thereof

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this April 27, 1998
(Date of signing).

WARNING: Date of signing must be the same as the date of execution of the application if item (a) was checked above.

Kazuhide KUBOTA
(Type name of inventor)

Kazuhide Kubota
Signature of INVENTOR

Kiyohiko TAKEMOTO

Kiyohiko Takemoto

Shinichi KATO

Shinichi Kato

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized then it will only be prima facie evidence of execution 35 USC 261. Use next page if notarization is desired.

☐ Notarization or Legalization Page Added.

(Assignment of Invention—Multiple Inventors [16-3.2]—page 3 of 3)

RECORDED: 08/21/1998

PATENT
REEL: 9409 FRAME: 0642

RECORDED: 07/26/1999

PATENT
REEL: 009972 FRAME: 0882