

11-23-1999



FORM PTO-1595
(Rev. 6-93)

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

Tab settings □ □ □ ▼

101179327

PATENTS ONLY

SHEET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

SEP 3

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

1. Name of conveying party(ies):

Applied Microwave Plasma Concepts,
Inc.

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

3. Nature of conveyance:

- ☐ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
see attached Correction of
☒ Other Recorded Cover Sheet Error

Execution Date: _____

2. Name and address of receiving party(ies)

Name: ASM Japan K.K.

Internal Address: _____

23-1 Nagayama 6 Chome

Tama-shi

Street Address: Tokyo, Japan

City: _____ State: _____ ZIP: _____

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

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)

B. Patent No.(s) 5 370 765

Additional numbers attached? ☐ Yes ☒ No

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

Name: Robert Charles Hill

Internal Address: _____

Street Address: _____

235 Montgomery Street #800

San Francisco State: CA ZIP: 94104

City: _____

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:

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

09/07/1999 HTMA11 00000007 5370765

DO NOT USE THIS SPACE

01 FC 581 40.00-00

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.

Robert Charles Hill

Name of Person Signing

Robert Charles Hill
Signature

August 31, 1999

Date

Total number of pages including cover sheet, attachments, and document: 1

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

PATENT
REEL: 010238 FRAME: 0847

med 9-3-99

For: ☒ U.S. and/or ☒ Foreign Rights
For: ☐ U.S. Application or
☐ U.S. Provisional Application
For: ☒ U.S. Patent
For: ☒ PCT Application
By: ☐ Inventor(s) or ☒ Present Owner

ASSIGNMENT OF INVENTION

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,

ASSIGNOR:

Inventor(s) or person(s) or
entity(ies) who own the
invention

Applied Microwave Plasma Concepts, Inc.

(type or print name(s) of ASSIGNOR(S))

P.O. Box 2033

Address

La Jolla, CA 92038-2033

a California corp.

Nationality

*(if assignment is by person or entity to whom invention was previously assigned
and this was recorded in PTO, add the following)*

Recorded on February 22, 1994 Reel 6867

Frame 0585

hereby sells, assigns and transfers to

ASSIGNEE:

ASM Japan K.K.

(type or print name(s) of ASSIGNEE(S))

23-1 Nagayama 6 Chome

Address

Tama-shi

Tokyo, Japan

Nationality

Japanese

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, including all rights to claim priority,

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

Electron Cyclotron Resonance Plasma Source And

Method Of Operation

Name of inventor(s) Raphael A. Dandl

(check and complete (a), (b), (c), (d), (e), (f), or (g))

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. provisional application naming the above inventor(s) for the above-entitled invention.
☐ Express mail label no.: _____
Mailed: _____
☐ To comply with 37 CFR 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.
(d) ☐ U.S. application no. _____ / _____
filed on _____
(e) ☐ International application no. PCT/ _____ / _____
(f) ☒ U.S. patent no. 5 370 765 issued December 6, 1994
☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(also check (g), if foreign application(s) is also being assigned)

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

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 reissue 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.

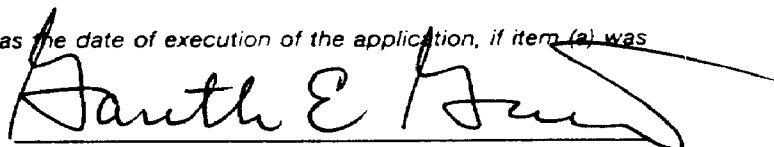
(Assignment of Invention [16-3]—page 2 of 3)

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, I/We have hereunto set hand and seal this 8th day
of June, 1999.
Date of signing

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

Date: June 8, 1999



Signature of ASSIGNOR(S)

Date: _____

Date: _____

Date: _____

(if ASSIGNOR is a legal entity, complete the following information)

Gareth E. Guest

(type or print the name of the above person
authorized to sign on behalf of ASSIGNOR)

Vice President

Title

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 [16-3]—page 3 of 3)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Assignments

Commissioner of Patents and Trademarks

Washington, D.C. 20231

CORRECTION OF RECORDED COVER SHEET ERROR(S) (37 C.F.R. 3.34)

NOTE: See 37 CFR 3.34.

1. Applicant has noted an error in the cover sheet for the assignment(s) (document(s)) previously recorded on June 10, 1999.
Date of recordal

Reel 010018 Frame 0108

2. Attached hereto is:

☒ the originally recorded document. (Assignment)

☒ a copy of the originally recorded document. (Cover Sheet)

x a copy of Notice Of Recordation Of Assignment Document dated August 17, 1999

3. Also attached hereto is a corrected cover sheet for recordation.

CERTIFICATE OF MAILING/TRANSMISSION (37 CFR 1.8(a))

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

MAILING

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

FACSIMILE

☐ transmitted by facsimile to the Patent and Trademark Office.

Date: August 31, 1999

Robert Charles Hill
Signature

Robert Charles Hill

(type or print name of person certifying)

(Correction of Recorded Cover Sheet Error(s) [16-8]—page 1 of 2)

4. The error in the originally recorded cover sheet is apparent when that cover sheet is compared with the recorded document because:

The Assignment Of Invention is for U.S. Patent No. 5 370 765 issued December 6, 1994 while the Cover Sheet in error lists U.S. Patent No. 5 203 765.

The other two patents and one application listed on the original Cover Sheet are correct.

5. The recording fee is shown in the corrected cover sheet filed herewith. Payment of this recording fee is in the manner set forth in the corrected cover sheet.

NOTE: "A fee is required for each application, patent and registration against which the document is recorded as identified in the cover sheet." 37 CFR 3.41

Robert Charles Hill
SIGNATURE OF PRACTITIONER

Reg. No.: 20 903

Robert Charles Hill
(type or print name of practitioner)

Tel. No.: (415) 421-2080

235 Montgomery Street #800
P.O. Address

Customer No.:

San Francisco, CA 94104

(Correction of Recorded Cover Sheet Error(s) [16-8]—page 2 of 2)

06-15-1999

FORM PTO-1595
(Rev. 6-93)

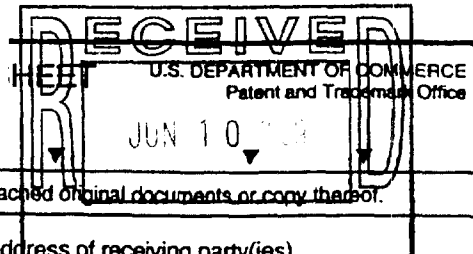
OMB No. 0651-0011 (exp. 4/94)

Tab settings ☐ ☐ ☐ ☐ ▼

6-10-99 F



101065555



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

1. Name of conveying party(ies):

Applied Microwave Plasma Concepts, Inc.

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

2. Name and address of receiving party(ies)

Name: ASM Japan K.K.

Internal Address:

23-1 Nagayama 6 Chome

Tama-shi

Street Address: Tokyo, Japan

City: _____ State: _____ ZIP: _____

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

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ OtherExecution Date: JUNE
October 8, 1999

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)

09/005 480

B. Patent No.(s) 5 133 826

5 203 765

5 707 452

Additional numbers attached? ☐ Yes ☒ No

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

Name: Robert Charles Hill

Internal Address: _____

Street Address: _____

235 Montgomery Street #800

San Francisco State: CA ZIP: 94104

City: _____

6. Total number of applications and patents involved: 47. Total fee (37 CFR 3.41).....\$ 160.00 E☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

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

06/15/1999 DNGUYEN 00000017 5133826

DO NOT USE THIS SPACE

01 F0+581 160.00 OP

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.

Robert Charles Hill

Name of Person Signing

Signature

JUNE 10, 1999

Date

Total number of pages including cover sheet, attachments, and document: 20Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231PATENT
REEL: 010238 FRAME: 0853



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

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

AUGUST 17, 1999

PTAS

ROBERT CHARLES HILL
235 MONTGOMERY STREET #800
SAN FRANCISCO, CA 94104



101065555A

**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/10/1999

REEL/FRAME: 010018/0108
NUMBER OF PAGES: 13

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

APPLIED MICROWAVE PLASMA CONCEPTS,
INC.

DOC DATE: 06/08/1999

ASSIGNEE:

ASM JAPAN K.K.
23-1 NAGAYAMA 6 CHOME, TAMA-SHI
TOKYO, JAPAN

SERIAL NUMBER: 09005480
PATENT NUMBER:

FILING DATE: 01/12/1998
ISSUE DATE:

SERIAL NUMBER: 07320947
PATENT NUMBER: 5133826

FILING DATE: 03/09/1989
ISSUE DATE: 07/28/1992

SERIAL NUMBER: 07708490
PATENT NUMBER: 5203765

FILING DATE: 05/31/1991
ISSUE DATE: 04/20/1993

SERIAL NUMBER: 08676448
PATENT NUMBER: 5707452

FILING DATE: 07/08/1996
ISSUE DATE: 01/13/1998

**PATENT
REEL: 010238 FRAME: 0854**

MARY BENTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS