

10-01-1999

FI9-99-023

PATENT ONLY

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

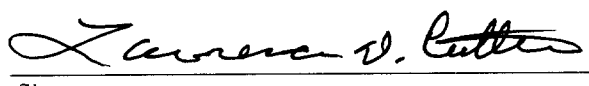
10525 U.S. IPO
09/401098
09/22/99

<p>1. Name of conveying party(ies): (1) Roy Yu <i>MRD</i> (2) Chandrika Prasad, (3) John R. Pennacchia <i>9-22-99</i> (4) Harvey C. Hamel Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p> <p>3. Nature of Conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other</p> <p>Execution Date: <u>9/10, 9/2, 9/16, 9/3/99</u></p>	<p>2. Name and address of receiving party(ies): Name: <u>International Business Machines Corporation</u> Street Address: <u>New Orchard Road</u> City: <u>Armonk</u> State: <u>New York</u> ZIP: <u>10504</u> Additional name(s) & address(es) attached? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p>
<p>4. Application number(s) or patent number(s): <u>09/401,098</u> If this document is being filed together with a new application, the execution date of the application is: 9/10, 9/2, 9/16, 9/3/99</p> <p>A. Patent Application Number(s) _____ B. Patent Number(s) _____</p> <p>Additional number(s) attached? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO</p>	
<p>5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>Kevin R. Casey</u></p> <p>Internal Address: <u>Ratner & Prestia</u> Street Address: <u>Suite 301, One Westlakes, Berwyn,</u> <u>P.O. Box 980</u> <u>Valley Forge, PA 19482-0980</u> Phone: <u>(610) 407-0700</u></p>	<p>6. Total number of applications and patents involved: <u>1</u></p> <p>7. Total fee (37 CFR 3.41): \$ <u>40.00</u> <input type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account FI(454)</p> <p>8. Deposit account number: <u>09-0458 (IBM Corporation)</u> <small>(Attach duplicate copy of this page if paying by deposit account.)</small></p>

09/30/1999 DNGUYEN 00000145 090458 09401098
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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.

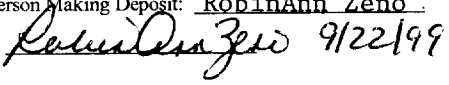
Lawrence D. Cutter  Sept. 22, 1999
Name of Person Signing Signature Date
28.501

Registration. No. _____

Total number of pages including cover sheet, attachments, and document: 3

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS EXPRESS MAIL IN AN ENVELOPE ADDRESSED TO: COMMISSIONER OF PATENTS AND TRADEMARKS, WASHINGTON, D.C. 20231. THE APPLICANT AND/OR ATTORNEY REQUEST THE DATE OF DEPOSIT AS THE FILING DATE.

Express Mail Certificate No.: GB842476624US
Date of Deposit: 9/22/99

Name of Person Making Deposit: RobinAnn Zeno
Signature:  9/22/99

ASSIGNMENT

WHEREAS, we

- (1) Roy Yu of 18 Hankin Loop, Poughkeepsie, NY 12601;
- (2) Chandrika Prasad of 29 Sherwood Heights, Wappingers Falls, NY 12590;
- JMP* (3) John R. Pennacchia of ~~8 Mina Drive~~, Wappingers Falls, NY 12590; *11 Evergreen Dr.*
- (4) Harvey C. Hamel of 14 Martin Road, Poughkeepsie, NY 12601

have invented certain improvements in

MULTIPLE-PLANE PAIR THIN-FILM STRUCTURE AND PROCESS OF MANUFACTURE

and have executed, respectively, a United States patent application therefor on:

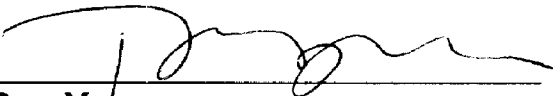
- (1) *9/10/1999*, 1999;
- (2) *9/2/1999*, 1999;
- (3) *9/16/1999*, 1999.
- (4) 9/3/1999*

Whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York, having a place of business at Armonk, New York 10504, (hereinafter called IBM), desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now, therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we, the above named hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right, title and interest in the said application and the invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and we request the Commissioner of Patents to issue any Letters Patent granted upon the invention set forth in said application to IBM, its successors and assigns; and we hereby agree that IBM may apply for foreign Letters Patent on said invention and we will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

Signed

(1) at East Fishkill
on 9-10-99, 1999;


Roy Yu

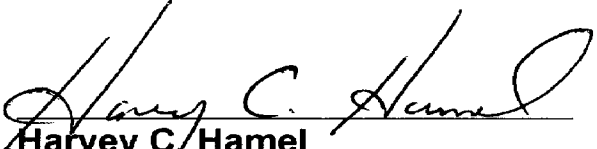
(2) at East Fishkill
on 9-2-99, 1999;


Chandrika Prasad

(3) at East Fishkill
on 9-16-99, 1999;


John R. Pennacchia

(4) at EAST FISHKILL
on 9/3/99, 1999.


Harvey C. Hamel