

10-14-1999

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U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Honorable Commissioner of

101170525

...the attached original documents or copy thereof.

1. Name of conveying party(ies):

Joseph L. Hellerstein

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: International Business Machines Corporation

Internal Address:

Street Address: New Orchard Road

City: Armonk State: NY ZIP: 10504

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

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: September 29, 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:

September 29, 1999

A. Patent Application No.(s)

B. Patent No.(s)

09/409151

Additional numbers attached? ☐ Yes ☒ No

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

Name: William E. Lewis

Internal Address: Ryan & Mason, L.L.P.

Street Address: 90 Forest Avenue

City: Locust Valley State: NY ZIP: 11560

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

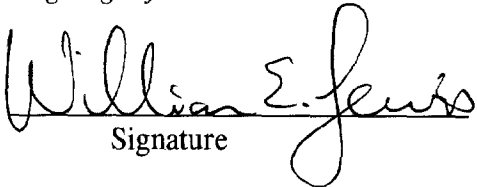
8. Deposit account number 50-0762

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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.

William E. Lewis



September 30, 1999

Signature

Date

Reg. No. 39,274

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Y0999-287

PATENT
REEL: 010296 FRAME: 0736

ASSIGNMENT

Whereas, I

Inventor
and City(1) **Joseph L. Hellerstein**
County of Westchesterof Ossining
and State of New York

have invented certain improvements in

TITLE

**METHODS AND APPARATUS FOR PERFORMANCE MANAGEMENT USING SELF-
ADJUSTING MODEL-BASED POLICIES**

and executed a United States patent application therefor on

DATE THAT
INVENTOR
SIGNED THE
DECLARATION(1) Sept 29 1999.

Whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York, having a place of business at New Orchard Road, 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, I 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 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 I request the Commissioner of Patents to issue any Letters Patent granted upon the inventions set forth in said application to IBM, its successors and assigns; and I hereby agree that IBM may apply for foreign Letters Patent on said invention and I will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

CITY (1)
DATESigned and Sealed
at Hawthorne, NY
on Sept. 29 1999

Joseph L. Hellerstein SIGNATURE
(Joseph L. Hellerstein) INVENTOR
FIRST NAME MIDDLE INITIAL LAST NAME

State of New York)ss.:
County of Westchester)INVENTOR
(1)

On this 29th day of Sept 1999, before me personally came
Joseph L. Hellerstein to me personally known, and known to me to be the person
described in and who executed the foregoing assignment, and he acknowledged to
me that he executed the same as his free act and deed.

Mae K. Lemke
Notary Public, State of New York
No. 01LE6003456
County of Westchester

Chae K. Lemke
Notary

Ryan & Mason, L.L.P. Commission Expires March 02 2000
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Locust Valley, New York 11560
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