

10-26-1999

FORM PTO-1595

RECC



U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

101181451 ✓

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

## 1. Name of conveying party(ies):

**Jong-Deok Choi, Manish Gupta, Michael Hind**

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

☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ OtherExecution Dates: **October 8 and 11, 1999**

## 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

## 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)

**09/415,137**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: 17. Total Fee (37 CFR 3.41)..... \$ 40.00☒ Enclosed☐ Authorized to be charged to deposit account8. Deposit account number **50-0762**

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.*William E. Lewis

Reg. No. 39,274

William E. Lewis  
SignatureOctober 19, 1999

Date

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

10/26/1999 NTHAI1 00000040 09415137

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01 EC:581

40.00 OP

Main documents to be recorded with required cover sheet information to:

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YO999-410

PATENT  
REEL: 010325 FRAME: 0088

**ASSIGNMENT**

Whereas, we

Inventor  
and City(1) **Jong-Deok Choi**  
County of Westchesterof Mount Kisco  
and State of New Yorkand (2) **Manish Gupta**  
County of Westchesterof Peekskill  
and State of New Yorkand (3) **Michael Hind**  
County of Westchesterof Cortlandt Manor  
and State of New York

have invented certain improvements in

TITLE

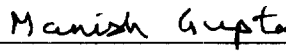
**METHODS AND APPARATUS FOR OPTIMIZING PROGRAMS IN THE PRESENCE  
OF EXCEPTIONS**

and executed a United States patent application therefor on  
 DATE THAT INVENTORS SIGNED THE DECLARATION (1) 12/11 1999 and (2) 10/8/99 1999 and (3) 10/11 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, 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 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 inventions 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.

CITY and DATE Signed and Sealed  
 (1) at Hawthorne, NY  
 on 12/11 1999,  
  
 \_\_\_\_\_ SIGNATURE  
 (Jong-Deok Choi) INVENTOR  
 FIRST NAME MIDDLE INITIAL LAST NAME

CITY and DATE Signed and Sealed  
 (2) at Yorktown Heights, NY  
 on 10/8/99 1999,  
  
 \_\_\_\_\_ SIGNATURE  
 (Manish Gupta) INVENTOR  
 FIRST NAME MIDDLE INITIAL LAST NAME

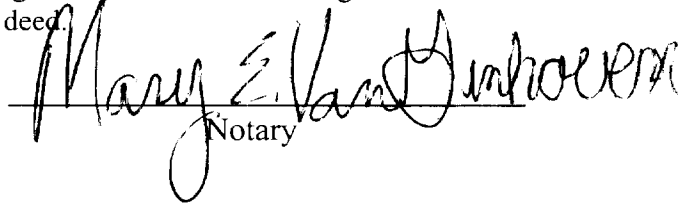
CITY and DATE Signed and Sealed  
 (3) at Hawthorne, NY  
 on 10/11 1999,  
  
 \_\_\_\_\_ SIGNATURE  
 (Michael Hind) INVENTOR  
 FIRST NAME MIDDLE INITIAL LAST NAME

State of New York )ss.:  
County of Westchester )

INVENTOR  
(1)

On this 11th day of October 1999, before me personally came  
**Jong-Deok Choi** 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.

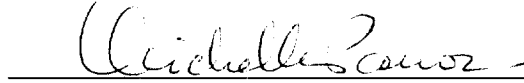
**MARY E. VAN GINHOVEN**  
Notary Public, State of New York  
No. 01VA6022977  
Qualified in Westchester County  
Commission Expires April 12, 2001

  
Notary

State of New York )ss.:  
County of Westchester )

INVENTOR  
(2)

On this 5th day of October 1999, before me personally came  
**Manish Gupta** 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.



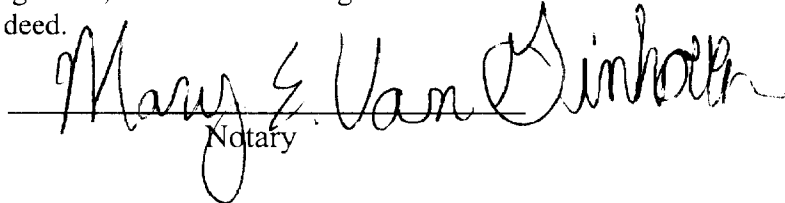
Notary  
**MICHELLE PARRA**  
Notary Public, State of New York  
No. 01PA5089349  
Qualified in Dutchess County  
Commission Expires December 8, 1999

State of New York )ss.:  
County of Westchester )

INVENTOR  
(3)

On this 11th day of October 1999, before me personally came  
**Michael Hind** 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.

**MARY E. VAN GINHOVEN**  
Notary Public, State of New York  
No. 01VA6022977  
Qualified in Westchester County  
Commission Expires April 12, 2001

  
Notary

Ryan & Mason, L.L.P.  
90 Forest Avenue  
Locust Valley, New York 11560  
(516) 759-2722

RECORDATION FORM COVER SHEET  
PATENTS ONLY

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

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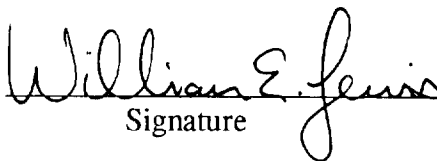
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correspondence concerning document should be  
mailed:Name: **William E. Lewis**Internal Address: **Ryan & Mason, L.L.P.**Street Address: **90 Forest Avenue**City: **Locust Valley** State: **NY** ZIP: **11560**6. Total number of applications and patents  
involved: 17. Total Fee (37 CFR 3.41)..... \$ 40.00☒ Enclosed☐ Authorized to be charged to deposit account8. Deposit account number **50-0762**

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Reg. No. 39,274



Signature

October 19, 1999

Date

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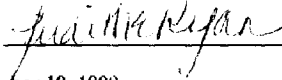
YO999-410

PATENT  
REEL: 010325 FRAME: 0091

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**APPLICANT(S):** Jong-Deok Choi  
Manish Gupta  
Michael Hind

I hereby certify that this paper and the enclosures referred to therein are being deposited on this date with the U.S. Postal Service as first class mail addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Signature: 

Date: ~~October~~ 19, 1999

**SERIAL NO.:** 09/415,137

**FILED:** October 8, 1999

**FOR:** METHODS AND APPARATUS FOR OPTIMIZING  
PROGRAMS IN THE PRESENCE OF EXCEPTIONS

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**REQUEST FOR RECORDATION OF ASSIGNMENT**

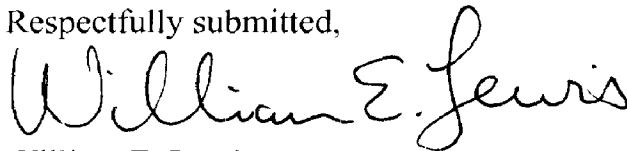
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Washington, D.C. 20231  
Box Assignments

Sir:

Submitted herewith for recordation are the following documents:

- (1) Recordation Form Cover Sheet; and
- (2) Assignment.

Respectfully submitted,



Date: October 19, 1999

William E. Lewis  
Attorney for Applicant  
Reg. No. 39,274  
90 Forest Avenue  
Locust Valley, NY 11560  
(516) 759-2946