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

Docket No. SA9-99-169

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U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

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1. Name of conveying party(ies):

Michael J. Azevedo
 Roger G. Hathorn
 Andrew D. Walls

2. Name and address of receiving party(ies):

International Business Machines Corporation
 New Orchard Street
 Armonk, NY 10504

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ NoAdditional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

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

Execution Date: October 28, 1999

09/432661

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: October 28, 1999

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning 6. Total number of applications and patents involved 1 document should be mailed:

Name: Sandra M. Parker, Esq.
 Address: OPPENHEIMER WOLFF & DONNELLY LLP
 2029 Century Park East, 38th Floor
 Los Angeles, CA 90067-3024

7. Total fee (37 CFR 3.41): \$40.00 E

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Please charge any additional fees or credit any overpayments to our Deposit account number: 16-2230

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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.

Gregory B. Wood

Name of Person Signing

 Signature

November 3, 1999

Date

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11/10/1999

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LA: 208246 v01 11/03/1999

PATENT
 REEL: 010368 FRAME: 0602

ASSIGNMENT

Whereas, we, Michael Joseph Azevedo of San Jose, County of Santa Clara and State of California; Roger Gregory Hathorn of Tucson, County of Pima and State of Arizona; and Andrew Dale Walls, County of Santa Clara and State of California have invented certain improvements in TRANSFER PROGRESS ALERT MODULE and executed, respectively, a United States patent application therefor on _____, 10/27/99, and _____

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 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.

Signed and sealed

at _____ (CITY)
on _____, 19__

at Tucson (CITY)
on 10/27, 1999

at _____ (CITY)
on _____, 19__

Michael Joseph Azevedo

Roger Gregory Hathorn

Andrew Dale Walls

Docket No.: SA9-99-169

ASSIGNMENT

Whereas, we, Michael Joseph Azevedo of San Jose, County of Santa Clara and State of California; Roger Gregory Hathorn of Tucson, County of Pima and State of Arizona; and Andrew Dale Walls, County of Santa Clara and State of California have invented certain improvements in TRANSFER PROGRESS ALERT MODULE and executed, respectively, a United States patent application therefor on 10/28/1999, 10/28/1999, and 10/28/1999.

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 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.

Signed and sealed

at San Jose (CITY)
on 10/28, 1999

Michael Joseph Azevedo
Michael Joseph Azevedo

at _____ (CITY)
on _____, 19__

Roger Gregory Hathorn
Roger Gregory Hathorn

at San Jose (CITY)
on 10/28, 1999

Andrew Dale Walls
Andrew Dale Walls

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RECORDED: 11/03/1999

PATENT
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