

**U.S. PATENT AND TRADEMARK OFFICE**

NOTE: The following appendix did not ar Code of Federal Regulations

**APPENDIX B**

FORM PTO-1595

1-31-92

02-02-2000



101256249

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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

1. Name of conveying party(ies):

Robert Frederic Kern  
William Frank Micka  
Larry Richard Perry  
Harold Glen Slone  
Gail Andrea Spear  
Jeffrey Mark Nick  
- David Bradley Petersen  
Harry Morris Yudenfriend

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

Name: *INTERNATIONAL BUSINESS  
MACHINES CORPORATION*  
Internal Address: Armonk, New York 10504

Street Address: SAME AS ABOVE

Additional name(s) & address(es) attached?  
yes ☒ no

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Nature of Conveyance

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

Execution Date: 02/22/99; 02/22/99; 03/19/99; 02/26/99; 03/23/99; 02/26/99; 02/22/99 & 03/04/99

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: 02/22/99; 02/22/99; 03/19/99; 02/26/99; 03/23/99;  
02/26/99; 02/22/99 & 03/04/99

A. Patent Application No.(s) **09/286,389**

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Terrance A. Meador  
Address: GRAY CARY WARE & FREIDENRICH  
401 "B" Street, Suite 1700  
San Diego, California 92101

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: 07-1895

**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.*

Terrance A. Meador (#30,298)

Name of Person Signing

Terrance A. Meador  
Signature

28 December 1999  
Date

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

OMB NO. 0651-0011 (EXP. 4/94)

Do not detach this portion

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

**COMMISSIONER OF PATENTS AND TRADEMARKS  
BOX ASSIGNMENTS  
WASHINGTON, D.C. 20231**

Public burden reporting for this sample cover sheet is estimated to average about 30 minutes per document to be recorded, including time for reviewing the document and gathering the data needed, and completing and reviewing the sample cover sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Office of Information Systems, PK2-1000C, Washington, D.C. 20231, and to the Office of Management and Budget, Paperwork Reduction Project. (0651-0011), Washington, D.C. 20503.

**PATENT  
REEL: 010510 FRAME: 0058**

Signed

CITY  
DATE

(1) at Tucson  
on FEB 22, 1999,

Robert Frederic Kern  
Robert Frederic Kern SIGNATURE  
INVENTOR

CITY  
DATE

(2) at Tucson  
on FEB 22, 1999,

William Frank Micka  
William Frank Micka SIGNATURE  
INVENTOR

CITY  
DATE

(3) at Poughkeepsie  
on March 19, 1999,

Jeffrey Mark Nick  
Jeffrey Mark Nick SIGNATURE  
INVENTOR

CITY  
DATE

(4) at San Jose  
on Feb 26, 1999,

Larry Richard Perry  
Larry Richard Perry SIGNATURE  
INVENTOR

CITY  
DATE

(5) at Gardensburg  
on March 23, 1999,

David Bradley Petersen  
David Bradley Petersen SIGNATURE  
INVENTOR

CITY  
DATE

(6) at San Jose  
on Feb 26, 1999,

Harold Glen Slone  
Harold Glen Slone SIGNATURE  
INVENTOR

CITY  
DATE

(7) at Tucson  
on Feb 22, 1999,

Gail Andrea Spear  
Gail Andrea Spear SIGNATURE  
INVENTOR

CITY  
DATE

(8) at Poughkeepsie, NY  
on 3/4/99 POK, 1999,

Harry Morris Yudenfriend  
Harry Morris Yudenfriend SIGNATURE  
INVENTOR

RECORDED: 04/05/1999

PATENT  
REEL: 9879 FRAME: 0086

PATENT  
REEL: 010510 FRAME: 0059

**ASSIGNMENT**

INVENTORS  
AND CITY

Whereas, We

- |   |   |
|---|---|
| (1) <u>Robert Frederic Kern</u><br>City of <u>Tucson</u> ,<br>County of <u>Pima</u><br>State of <u>AZ</u>         | (2) <u>William Frank Micks</u><br>City of <u>Tucson</u> ,<br>County of <u>Pima</u><br>State of <u>AZ</u>              |
| (3) <u>Jeffrey Mark Nick</u><br>City of <u>West Park</u><br>County of <u>Ulster</u><br>State of <u>NY</u>         | (4) <u>Larry Richard Perry</u><br>City of <u>Gilroy</u> ,<br>County of <u>Santa Clara</u><br>State of <u>CA</u>       |
| (5) <u>David Bradley Petersen</u><br>City of <u>Great Falls</u><br>County of <u>Fairfax</u><br>State of <u>VA</u> | (6) <u>Harold Glen Stone</u><br>City of <u>Los Gatos</u> ,<br>County of <u>Santa Clara</u><br>State of <u>CA</u>      |
| (7) <u>Gail Andrea Spear</u><br>City of <u>Tucson</u> ,<br>County of <u>Pima</u><br>State of <u>AZ</u>            | (8) <u>Harry Morris Yudenfriend</u><br>City of <u>Poughkeepsie</u><br>County of <u>Dutchess</u><br>State of <u>NY</u> |

have invented certain improvements in

TITLE

**DATABASE BACKUP SYSTEM ENSURING CONSISTENCY BETWEEN PRIMARY AND  
MIRRORED BACKUP DATABASE COPIES DESPITE BACKUP INTERRUPTION**

DATES THAT  
INVENTORS  
SIGNED THE  
DECLARATION

and executed a Declaration and Power of Attorney for a United States patent application therefor on

- (1) FEB 22, 1999, (2) FEB 22, 1999, (3) MAR 19, 1999,  
(4) FEB 26, 1999, (5) MAR 23, 1999, (6) FEB 26, 1999,  
(7) FEB 22, 1999, (8) MARCH 4, 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, 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.

**PATENT**  
**REEL: 9879 FRAME: 0085**  
**PATENT**  
**REEL: 010510 FRAME: 0060**

RECEIVED

OPR/FINANCE

200 JAN 11 AM 10:45

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

KERN et al

Serial No.: 09/286,389

Filed: April 5, 1999

Group Art Unit: 2786

Examiner: Michael Wallace

Docket No.: TU9-97-005X  
(103778-154075)

Title: DATABASE BACKUP SYSTEM ENSURING CONSISTENCY BETWEEN  
PRIMARY AND MIRRORED BACKUP DATABASE COPIES DESPITE BACKUP  
INTERRUPTION

CERTIFICATION UNDER 37 CFR § 1.8

I hereby certify that the documents referred to as enclosed herein are being deposited with the United States Postal Service as first class mail on this date 28 December 1999, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231

28 December 1999 Tim M. McArthur  
Date Signature

U.S. Patent and Trademark Office  
Assignment Division  
Box Assignments  
North Tower Building, Suite 10C35  
Washington, D.C. 20231

Sir:

**REQUEST FOR CORRECTION OF ASSIGNMENT RECORDAL SHEET  
AND NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

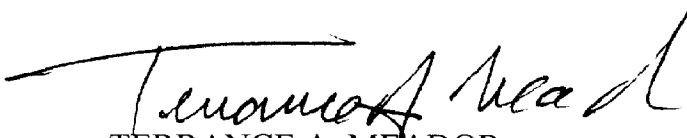
It came to the attention of the undersigned attorney that the originally issued Notice of Recordation of Assignment Document and the Assignment Recordal Cover Sheet are incorrect, namely, DAVID GRADLEY PETERSEN should read DAVID BRADLEY PETERSEN..

The Assignment Recordal Cover Sheet and the Notice of Recordation of Assignment Document with corrections in red are enclosed. Also enclosed is a new Assignment Recordal Cover Sheet. Please correct the records in the Patent and Trademark Office and issue a corrected Notice of Recordation of Assignment Document.

Authorization is given to charge Deposit Account No. 07-1895 for the amount of \$40.00  
and/or any other fees that may arise in connection with this filing.

Respectfully submitted,

Date: 28 December 1999

  
TERRANCE A. MEADOR  
Registration No. 30,298

GRAY CARY WARE & FREIDENRICH  
401 B Street, Suite 1700  
San Diego, California 92101

Telephone: (619) 699-2652 Fax: (619) 236-1048

ASSIGNOR:

YUDENFRIEND, HARRY MORRIS

DOC DATE: 03/04/1999

ASSIGNEE:

INTERNATIONAL BUSINESS MACHINES  
CORPORATION  
ARMONK, NEW YORK 10504

SERIAL NUMBER: 09286389

FILING DATE: 04/05/1999

PATENT NUMBER:

ISSUE DATE:

ANNE HARRELL, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS