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2 documents or copy thereof.

To the Honorable Commissioner of Patents and Trad.

1. Name of conveying party(ies):

Huili SHAO,  
Kurt G. STEINER and  
Susan C. VITKAVAGE

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

Name: Lucent Technologies Inc.  
Address: 600 Mountain Avenue, P.O. Box 630  
Murray Hill, NJ 07974-0636

Additional name(s) of conveying party(ies) attached ( ) Yes (X) No

3. Nature of Conveyance:

(X) Assignment ( ) Merger  
( ) Security Agreement ( ) Change of Name  
( ) Other

Execution Dates: January 7, 2000

Additional name(s) and address(s) attached? ( ) Yes (X) 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)

09/451,053

Additional numbers attached? ( ) Yes (X) No

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

6. Total number of applications and patents involved: [ 1 ]

Name: Richard K. Warther, Esq.

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

Internal Address: Allen, Dyer,

[ ] Enclosed

Doppelt, Milbrath & Gilchrist, P.A.

[X] Authorized to be charged to deposit account.

Street Address: 255 S. Orange Ave.

P.O. Box 3791

8. Deposit Account Number:

City: Orlando

12-2325

State: Florida Zip: 32802

If any additional extension and/or fee is required, or, if any additional fee for claims is required.

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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.

01/31/2000 TLUR11 00000089 122325 09451053

01 FC:581 (40.00 CH) Richard K. Warther January 18, 2000  
Name of Person Signing Signature Date

Total number of pages including cover sheet, attachments and document: [ 4 ]

## ASSIGNMENT AND AGREEMENT

For value received, we, **Huili SHAO** in the County of Orange, and State of Florida, and **Kurt G. STEINER** in the County of Orange, and State of Florida, and **Susan C. VITKAVAGE** in the County of Orange, State of Florida, hereby sell, assign and transfer to Lucent Technologies Inc., a corporation of the State of Delaware, having an office at 600 Mountain Avenue, Murray Hill, New Jersey 07974-0636, U.S.A., and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to **SURFACE TREATMENT ANNEAL OF HYDROGENATED SILICON-OXY-CARBIDE DIELECTRIC LAYER (as amended)**, described in an application for Letters Patent of the United States, executed by us on November 30, 1999, and assigned **Serial No. 09/451,053**, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to Lucent Technologies Inc. the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

We authorize Lucent Technologies Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions, or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of Lucent Technologies Inc. to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We request that any and all patents for said inventions be issued to Lucent Technologies Inc. in the United States and in all countries foreign to the United States, or to such nominees as Lucent Technologies Inc. they may designate.

We agree that, when requested, we shall, without charge to Lucent Technologies Inc. but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.

Date: Jan. 7, 2000

HUILI SHAO

United States of America )  
State of Florida ) ss.:  
County of ORANGE )

On this 7<sup>th</sup> day of JANUARY, 2000, before me personally came **HUILI SHAO** to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.



Ellie Roberts  
Notary Public

Date: Jan. 7, 2000

United States of America )  
State of Florida ) ss.:  
County of ORANGE )

On this 7<sup>th</sup> day of JANUARY, 2000, before me personally came **KURT G. STEINER** to me known to be the individual described in and who executed the foregoing instrument, and acknowledged execution of the same.

Kurt G. Steiner  
**KURT G. STEINER**



Ellie Roberts  
Notary Public

Susan C. Vitkavage  
SUSAN C. VITKAVAGE

Date: Jan 7, 2000

United States of America                    )  
State of Florida                                ) ss.:  
County of ORANGE                            )

On this 7<sup>th</sup> day of JANUARY, 2000, before me  
personally came **SUSAN C. VITKAVAGE** to me known to be the individual  
described in and who executed the foregoing instrument, and acknowledged  
execution of the same.

Ellie Roberts  
Notary Public



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