

02-18-2000

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**



101271057

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TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

**Submission Type**

☒ New

☐ Resubmission (Non-Recordation)  
Document ID#

☐ Correction of PTO Error  
Reel #  Frame #

☐ Corrective Document  
Reel #  Frame #

**Conveyance Type**

☒ Assignment ☐ Security Agreement

☐ License ☐ Change of Name

☐ Merger ☐ Other

**U.S. Government**  
(For Use ONLY by U.S. Government Agencies)

☐ Departmental File ☐ Secret File

**Conveying Party(ies)**

☒ Mark if additional names of conveying parties attached

Execution Date		
Month	Day	Year
11	02	99

Name (line 1) Kleiman, Steven R.

Name (line 2)

**Second Party**

Name (line 1) Hitz, David

Execution Date		
Month	Day	Year
11	08	99

Name (line 2)

**Receiving Party**

☐ Mark if additional names of receiving parties attached

Name (line 1) Network Appliance, Inc.

Name (line 2) a Corporation of California

Address (line 1) 495 East Java Avenue

Address (line 2)

Address (line 3) Sunnyvale

CA

94089

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name Daniel B., Curtis

Address (line 1) Swernofsky Law Group

Address (line 2) P.O.Box 390013

Address (line 3) Mountain View, CA 94039-0013

Address (line 4) United States

02/17/2000 DMGUYEN 00000104 09426409

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Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

**PATENT**  
REEL: 010552 FRAME: 0034

**Correspondent Name and Address**

Area Code and Telephone Number 650.947.0700

Name Daniel B. Curtis

Reg. No 39,159

Address (line 1) Swernofsky Law Group

Address (line 2) P.O.Box 390013

Address (line 3) Mountain View, CA 94039-00

Address (line 4) United States

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments.

# 6

**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property)

**Patent Application Number(s)**

**Patent Number(s)**

09426409

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

**Patent Cooperation Treaty (PCT)**

Enter PCT application number only if a U.S. Application Number has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

**Number of Properties**

Enter the total number of properties involved.

# 1

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:  
Deposit Account

Enclosed ☒

Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# 500365

Authorization to charge additional fees:

Yes

☒

No

☐

**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. Charges to deposit account are authorized, as indicated herein.

Daniel B. Curtis

Name of Person Signing

Signature

Date

**RECORDATION FORM COVER SHEET  
CONTINUATION  
PATENTS ONLY**

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**

**Conveying Party(ies)**

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) Hutchinson, Norman

Execution Date  
Month Day Year

11 01 99

Name (line 2)

Execution Date  
Month Day Year

Name (line 1) O'Malley, Sean

11 08 99

Name (line 2)

Execution Date  
Month Day Year

Name (line 1)

Name (line 2)

**Receiving Party(ies)**

☐ Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

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**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number(s)**

**Patent Number(s)**





022883

NAP-034

PATENT TRADEMARK OFFICE

ASSIGNMENT

WHEREAS, we, Steven R. Kleiman, a citizen of the US, residing at 157 El Monte Road, Los Altos, CA 94022, David Hitz, a citizen of the US, residing at 245 Old Spanish Trail, Portola Valley, CA 94028, Norman Hutchinson, a citizen of Canada, residing at 9651 Glenholme Drive, Richmond, B. C., Canada V7A 1Y3, and Sean W. O'Malley, a citizen of the US, residing at 130 South Mary Avenue, Sunnyvale, CA 94087, have invented a "File System Image Transfer Between Dissimilar File Systems" for which we have executed application papers for a U.S. patent thereon, which was filed on October 25, 1999, Serial No. 09/426,409; and

WHEREAS, Network Appliance, Inc. a California corporation, having a place of business at 495 East Java Avenue, Sunnyvale, CA 94089 is desirous of acquiring the exclusive right, title and interest in and to said invention and in and to the Letters Patent to be granted and issued therefor in the United States of America and its territories and possessions, and in all countries foreign thereto;

NOW, THEREFORE, for a valuable consideration, the receipt of which is hereby acknowledged, we, Steven R. Kleiman, David Hitz, Norman Hutchinson, and Sean W. O'Malley, do sell, assign, transfer and set over unto the said Network Appliance, Inc., its successors and assigns, the full and exclusive right, title and interest in and to said invention, and in and to any and all letters patent to be granted and issued therefor, not only for, to and in the United States of America, its territories and possessions, but also for, to and in all other countries including all priority rights under the International Convention; and we hereby authorize and request the Commissioner of Patents and Trademarks to issue said Letters Patent to said Network Appliance, Inc., its successors and assigns, in accordance with this Assignment.

WITNESS OUR HAND at \_\_\_\_\_, this 22 day of NOVEMBER, 1999.

Steven R. Kleiman

\_\_\_\_\_  
David Hitz

\_\_\_\_\_  
Norman Hutchinson

\_\_\_\_\_  
Sean W. O'Malley

Assignment

PATENT  
REEL: 010552 FRAME: 0037



022883

NAP-034

PATENT TRADEMARK OFFICE

ASSIGNMENT

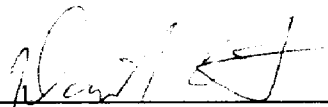
WHEREAS, we, Steven R. Kleiman, a citizen of the US, residing at 157 El Monte Road, Los Altos, CA 94022, David Hitz, a citizen of the US, residing at 245 Old Spanish Trail, Portola Valley, CA 94028, Norman Hutchinson, a citizen of Canada, residing at 9651 Glenholme Drive, Richmond, B. C. Canada V7A 1Y3, and Sean W. O'Malley, a citizen of the US, residing at 130 South Mary Avenue, Sunnyvale, CA 94087, have invented a "File System Image Transfer Between Dissimilar File Systems" for which we have executed application papers for a U.S. patent thereon, which was filed on October 25 1999, Serial No. 09/426,409; and

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WITNESS OUR HAND at \_\_\_\_\_, this 8<sup>th</sup> day of NOVEMBER, 1999.

\_\_\_\_\_  
Steven R. Kleiman

  
\_\_\_\_\_  
David Hitz

\_\_\_\_\_  
Norman Hutchinson

\_\_\_\_\_  
Sean W. O'Malley

Assignment

PATENT  
REEL: 010552 FRAME: 0038



022883

NAP-034

PATENT TRADEMARK OFFICE

ASSIGNMENT

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WITNESS OUR HAND at RICHMOND, BC, CANADA, this 1 day of NOVEMBER, 1999.

Steven R. Kleiman

David Hitz

  
Norman Hutchinson

Sean W. O'Malley

Assignment

PATENT  
REEL: 010552 FRAME: 0039



022883

NAP-034

PATENT TRADEMARK OFFICE

ASSIGNMENT

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WITNESS OUR HAND at \_\_\_\_\_, this 8<sup>th</sup> day of November, 1999.

\_\_\_\_\_  
Steven R. Kleiman

\_\_\_\_\_  
David Hitz

\_\_\_\_\_  
Norman Hutchinson

92250 11/8/99  
Sean W. O'Malley

Assignment

RECORDED: 01/24/2000

PATENT  
REEL: 010552 FRAME: 0040