

FORM PTO-160A
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OMB 0651-0027

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Patent and Trademark Office
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**RECORDATION FORM COVER SHEET
PATENTS ONLY**

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

Name (line 1) Innovative Hearing, Inc.

11051999

Name (line 2) a corporation of California

Execution Date
Month Day Year

Second Party

Name (line 1)

Name (line 2)

Receiving Party

☒ Mark if additional names of receiving parties attached

Name (line 1) Hackett, Gregg L.

Name (line 2)

☐ 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.)

Address (line 1) 1525 Farmers Lane

Address (line 2) Suite B

Address (line 3) Santa Rosa

City

CA USA

State/Country

95405

Zip Code

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

FOR OFFICE USE ONLY

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Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

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: 010557 FRAME: 0119

Correspondent Name and Address

Area Code and Telephone Number **707 5753590**

Name **Hackett, Gregg L.**

Address (line 1) **1525 Farmers Lane**

Address (line 2) **Suite B**

Address (line 3) **Santa Rosa, CA 95405**

Address (line 4)

Pages

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

11

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)

4556122	4652414	

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
1/14/00

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.

2

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ **80.00**

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:

#

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.

GREGG L. HACKETT

Gregg L. Hackett

1/14/00

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)	<input type="text"/>	Execution Date Month Day Year	<input type="text"/>
Name (line 2)	<input type="text"/>	Execution Date Month Day Year	<input type="text"/>
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Name (line 2)	<input type="text"/>		

Receiving Party(ies)

☒ Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)	<input type="text" value="Hait, Howard"/>	<input type="checkbox"/> 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.)	
Name (line 2)	<input type="text"/>		
Address (line 1)	<input type="text" value="78-848 Via Carmel"/>		
Address (line 2)	<input type="text"/>		
Address (line 3)	<input type="text" value="La Quinta"/> City	<input type="text" value="CA USA"/> State/Country	<input type="text" value="92253"/> Zip Code
Name (line 1)	<input type="text" value="Jenkins, Ronald"/>	<input type="checkbox"/> 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.)	
Name (line 2)	<input type="text"/>		
Address (line 1)	<input type="text" value="1534 Tennessee Street"/>		
Address (line 2)	<input type="text"/>		
Address (line 3)	<input type="text" value="Vallejo"/> City	<input type="text" value="CA USA"/> State/Country	<input type="text" value="94590"/> Zip Code

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)		
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PATENTS ONLY

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Patent and Trademark Office
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City State/Country Zip Code

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1 CHAVEZ & GERTLER LLP
MARK A. CHAVEZ (Bar No. 90858)
2 JONATHAN E. GERTLER (Bar No. 111531)
ALEXANDER B. TRUEBLOOD (Bar No. 150897)
3 42 Miller Avenue
Mill Valley, California 94941
4 Telephone: (415) 381-5599
Facsimile: (415) 381-5572
5

Attorneys for Plaintiffs
6
7

8 SUPERIOR COURT OF THE STATE OF CALIFORNIA
9 COUNTY OF MARIN
10

11 GREGG HACKETT, et al.,

12 Plaintiffs,

13 vs.

14 JENNIFER LORENZO, SCOTT
SWANSON ENTERPRISES, et al.,

15 Defendants.
16

CASE NO. 174785

NOTICE OF ENTRY OF JUDGMENT
AGAINST JENNIFER LORENZO,
SCOTT SWANSON ENTERPRISES,
INC., AND INNOVATIVE HEARING,
INC.

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NOTICE OF ENTRY OF DEFAULT

PATENT
REEL: 010557 FRAME: 0124

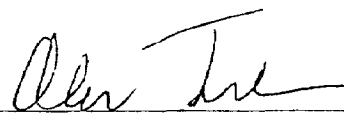
1 TO ALL PARTIES:

2 Please take notice that on November 2, 1999, the Court in this action entered the
3 following Judgment After Default Against Jennifer Lorenzo, Scott Swanson Enterprises, Inc.
4 and Innovative Hearing, Inc., a true and correct copy of which is attached hereto as
5 Exhibit A.

6
7 Dated: November 5, 1999

CHAVEZ & GERTLER LLP

8
9 By:


ALEXANDER B. TRUEBLOOD
Attorneys for Plaintiffs

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11 Lorenzo.Ntentjdgnov499
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FILED

NOV 02 1999

JOHN P. MONTGOMERY,
Court Executive Officer
MARIN COUNTY SUPERIOR COURT
By: T. Olsen, Deputy

CHAVEZ & GERTLER LLP
MARK A. CHAVEZ (Bar No. 90858)
JONATHAN E. GERTLER (Bar No. 111531)
ALEXANDER B. TRUEBLOOD (Bar No. 150897)
42 Miller Avenue
Mill Valley, California 94941
Telephone: (415) 381-5599
Facsimile: (415) 381-5572

Attorneys for Plaintiffs

SUPERIOR COURT OF THE STATE OF CALIFORNIA
COUNTY OF MARIN

GREGG HACKETT, et al.,

Plaintiffs,

vs.

JENNIFER LORENZO, SCOTT
SWANSON ENTERPRISES, et al.,

Defendants.

CASE NO. 174785

~~PROPOSED~~ JUDGMENT AFTER
DEFAULT AGAINST JENNIFER
LORENZO, SCOTT SWANSON
ENTERPRISES, INC., AND
INNOVATIVE HEARING, INC.

Action Filed: August 27, 1998

NOV 03 1999

EXHIBIT A

JUDGMENT AFTER DEFAULT AGAINST JENNIFER LORENZO,
SCOTT SWANSON ENTERPRISES, INC. **PATENT** INNOVATIVE HEARING, INC.

REEL: 010557 FRAME: 0126

1 This cause came to be heard before the Hon. Lynn Duryee, presiding in Department L
2 of the above-entitled court. It appearing that defendants Jennifer Lorenzo, Scott Swanson
3 Enterprises, Inc., and Innovative Hearing, Inc. have been regularly served with process
4 (including a Notice of Intent to seek Punitive Damages), and have had their defaults entered,
5 and that sufficient evidence demonstrating plaintiff's damages has been submitted,

6 IT IS THEREFORE ORDERED, ADJUDGED, AND DECREED THAT:

7 1. Plaintiffs Gregg Hackett, Howard Hait, Ronald Jenkins, William G. Davis,
8 Tom Williams, and Miles Reisman shall recover from the above named defendants the sum
9 of \$400,000, together with interest on said sum as provided by law.

10 2. Any purported transfer of United States Patent No. 4,556,122 (Ear Acoustical
11 Hearing Aid) and/or United States Patent No. 4,652,414 (Process for Manufacturing an Ear-
12 Fitted Acoustical Hearing Aid) by defendant Innovative Hearing, Inc. to Jennifer Lorenzo
13 and/or Scott Swanson Enterprises, Inc. is hereby set aside and declared void. Defendants
14 Jennifer Lorenzo and Scott Swanson Enterprises, Inc. are declared to hold said patents in
15 trust for, and for the benefit of plaintiffs, and are ordered to convey said patents to plaintiffs.
16 Plaintiffs have a present right to possess and/or execute on said patents.

17 3. Any purported transfer of Scott Swanson Enterprises, Inc. from Scott Swanson
18 to Jennifer Lorenzo is hereby set aside and declared void. Defendant Jennifer Lorenzo is
19 declared to hold Scott Swanson Enterprises, Inc. in trust for, and for the benefit of plaintiffs,
20 and is ordered to convey said property to plaintiffs. Plaintiffs have a present right to possess
21 and/or execute on said property.

22 4. Jennifer Lorenzo, Innovative Hearing, Inc. and Scott Swanson Enterprises,
23 Inc., and their representatives, attorneys, or agents are hereby restrained from selling,
24 transferring, conveying, assigning, or otherwise disposing of (1) United States Patent
25 No. 4,556,122 (Ear Acoustical Hearing Aid); and (2) United States Patent No. 4,652,414
26 (Process for Manufacturing an Ear-Fitted Acoustical Hearing Aid); and (3) Scott Swanson
27 Enterprises, Inc., to any person or entity except as provided herein.
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The clerk is ordered to enter the judgment.

LYNN DURYEE

~~November~~
Dated: ~~October~~ 2, 1999

JUDGE OF THE SUPERIOR COURT

Judgmnt.doc

1 Hackett, et al. v. Lorenzo
2 Case No.: 174785

3 PROOF OF SERVICE
4 (C.C.P. §1013a(3))

5 STATE OF CALIFORNIA)
6) ss.
7 COUNTY OF MARIN)

8 I am employed in the County of Marin, State of California. I am over the age of 18
9 years and not a party to the within action; my business address is Chavez & Gertler LLP, 42
10 Miller Avenue, Mill Valley, CA 94941.

11 On November 5, 1999, I served the foregoing documents:

12 • **NOTICE OF ENTRY OF JUDGMENT AGAINST JENNIFER LORENZO,
13 SCOTT SWANSON ENTERPRISES, INC. AND INNOVATIVE HEARING**

14 on the interested parties in this action by placing a true copy thereof enclosed in a sealed
15 envelope addressed to each as follows:

16 Jennifer D. Lorenzo
17 Scott Swanson Enterprises, Inc.
18 459 Meadow Way
19 San Geronimo, CA. 94963

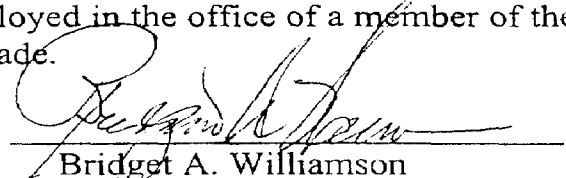
Scott Swanson, President
Innovative Hearing, Inc.
29 Lotus Court
Novato, CA 94945

20 Scott Swanson
21 Registered Agent for Service of Process
22 for Innovative Hearing, Inc.
23 370 E. 14th Street
24 San Leandro, CA 94577

25 [X] **BY MAIL:** I am readily familiar with the business' practice for collection and
26 processing of correspondence for mailing with the United States Postal Service. I know that
27 the correspondence is deposited with the United States Postal Service on the same day this
28 declaration was executed in the ordinary course of business. I know that the envelope was
sealed and, with postage thereon fully prepaid, placed for collection and mailing on this date,
following ordinary business practices, in the United States mail at Mill Valley, California.

Executed on November 5, 1999, at Mill Valley, California.

I declare under penalty of perjury under the laws of the State of California that the
above is true and correct. I declare that I am employed in the office of a member of the bar
of this court at whose direction the service was made.


Bridget A. Williamson