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4-54.1



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Practitioner's Docket No.

PATENT

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

511 U.S. PTO  
09/498287  
02/04/00

COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING  
NEW PATENT APPLICATION (37 C.F.R. § 3.31)

IDENTIFICATION OF APPLICATION  
(37 C.F.R. § 3.21 and 37 C.F.R. § 3.31(a)(4))

1. The  patent application  provisional patent application filed herewith and, to which the attached assignment (document) refers, is identified as follows:

- a. Type of application
  - Application of patent (37 C.F.R. § 1.53(b))
  - Continued prosecution (nonprovisional) application (37 C.F.R. § 1.53(d))
  - Provisional application (37 C.F.R. § 1.53(c))
  - International application (37 C.F.R. § 1.431)

09/498287

b. Date of execution: February 4, 2000

NOTE: Leave this blank if assignment is for a provisional application.

c. Name of each inventor:

- 1: STEPHEN TODD
- 2: ANDREAS BAUER
- 3: DAVID KURT SPENCER

4. Walter T. Libberpohl

d. Title of invention: "PRIMARY AND SECONDARY MANAGEMENT COMMANDS FOR A

CERTIFICATION UNDER 37 C.F.R. § 1.10\*  
(Express Mail label number is mandatory.)  
(Express Mail certification is optional.)

I hereby certify that this "Cover Sheet For Assignment (Document) Accompanying New Patent Application," along with any document referred to, is being deposited with the United States Postal Service on this date FEBRUARY 4, 2000, in an envelope as "Express Mail Post Office to Addressee," Mailing Label Number EE 717760027 US, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

JOEL WALL

(type or print name of person mailing paper)

*Joel Wall*

Signature of person mailing paper

03/09/2000 DNGUYEN 00000003 050889 09498287

01 FC:581 (40.00 CH)

**WARNING:** Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

**WARNING:** Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Cover Sheet For Assignment Accompanying New Patent Application [4-2.3]—page 1 of 4)

PERIPHERAL CONNECTED TO MULTIPLE AGENTS

NOTE: 37 C.F.R. § 3.21 states: "If an assignment of a patent application filed under § 1.53(b) is executed concurrently with, or subsequent to, the execution of the patent application, but before the patent application is filed, it must identify the patent application by its date of execution, name of each inventor, and title of the invention so that there can be no mistake as to the patent application intended. If an assignment of a provisional application under § 1.53(c) is executed before the provisional application is filed, it must identify the provisional application by name of each inventor and title of the invention so that there can be no mistake as to the provisional application intended."

**NAME OF PARTY(IES) CONVEYING INTEREST (37 C.F.R. § 3.31(a)(1))**

2. The party(ies) conveying this interest is (are):

Name 1: STEPHEN TODD  
Name 2: ANDREAS BAUER  
Name 3: DAVID KURT SPENCER  
4. WALTER T. DOBBERPUHL

**NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST (37 C.F.R. § 3.31(a)(2))**

3. The rights are being conveyed to:

Name: EMC CORPORATION  
Address: 171 SOUTH STREET  
HOPKINTON, MA 01748

Telephone No.: (508) - 435-1000

**DESCRIPTION OF INTEREST CONVEYED OR TRANSACTION RECORDED (37 C.F.R. § 3.31(a)(3))**

4. The accompanying document intends to accomplish:

- an assignment.
- a security agreement.
- a license.
- a merger.
- a change of name.
- a change of address.
- other.

**NAME AND ADDRESS OF PARTY TO WHOM CORRESPONDENCE SHOULD BE MAILED (37 C.F.R. § 3.31(a)(5))**

5. Please address correspondence to:

Name: JOEL WALL ESQ.  
Address: 6 URSLA DRIVE  
P.O. BOX 169  
HOPKINTON, MA 01748

Telephone No.: (508) 435-4432

(Cover Sheet For Assignment Accompanying New Patent Application [4-2.3]—page 2 of 4)

**DATE ASSIGNMENT (DOCUMENT) EXECUTED** (37 C.F.R. § 3.31(a)(7))

6. The attached assignment (document) was executed on February 4, 2000  
Date

**LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED**

NOTE: "The Office will accept and record non-English language documents only if accompanied by an English translation signed by the individual making the translation." 37 C.F.R. § 3.26.

7. The attached document:

- is in the English language.
- is not in the English language. An English translation signed by the individual making the translation and statement as to its accuracy is attached.

**ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED**

NOTE: "Either the original document or a true copy of the original document may be submitted for recording. Only one side of each page shall be used. The paper used should be flexible, strong, white, non-shiny, durable, and preferably no larger than 21.6 x 33.1 cm. (8 1/2 x 14 inches) with a 2.5 cm. (one-inch) margin on all sides." 37 C.F.R. § 3.24.

8. Submitted herewith is:

- the original document.
- a true copy of the original document.

NOTE: "If the original [assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 C.F.R. § 3.24] by providing a true copy of the original document using only one side of each page on the correct size paper." Notice of June 24, 1992, 1140 O.G. 53-76, at 67.

**NUMBER OF APPLICATIONS IDENTIFIED IN THIS COVER SHEET AND THE FEE**

NOTE: "All requests to record documents must be accompanied by the appropriate fee. Except as provided in paragraph (b) of this section, a fee is required for each application or patent against which the document is recorded as identified in the cover sheet. The recording fee is set in § 1.21(h) . . ." 37 C.F.R. § 3.41.

9. A. This cover sheet identifies only one application:

B. The fee for recordal (37 C.F.R. § 1.21(h)) is \$40.00.

- Attached is a check for \$40.00.
- Please charge Account 05-0889 \$40.00.

A duplicate of this cover sheet is attached.

**STATEMENT (37 C.F.R. § 3.31(a)(9))  
AND SIGNATURE (37 C.F.R. § 3.31(a)(10))**

10. 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.

Date: February 4, 2000

JOEL WALL  
Name of party submitting document

Joel Wall  
Signature of party submitting document

(complete the following, if the party submitting the document is applicant's attorney)

Reg. No. 25,648

Joel Wall  
Signature of Practitioner

Tel. No. (508) 435-4432

JOEL WALL  
(type or print name of practitioner)

Customer No.

GURSLA DRIVE; POE 5X 169  
P.O. Address  
NAPKINTON, MA 0.748

**TOTAL NUMBER OF PAGES BEING SUBMITTED**

11. The total number of pages being submitted, including cover sheet, attachment(s), and document(s) are:

4  
Total number of pages submitted

**ASSIGNMENT**

WHEREAS, We: Stephen Todd of 36 Thomas Farm Circle, Shrewsbury, MA 01545; Andreas Bauer of 197 Arlington Street, Acton, MA 01720; David Kurt Spencer of 31 Patty Lane, Northborough, MA 01532; and, Walter T. Dobberpuhl of 33 TangleWood Drive, Milford, MA 01757; have invented certain new and useful improvements in

**PRIMARY AND SECONDARY MANAGEMENT COMMANDS FOR A PERIPHERAL CONNECTED TO MULTIPLE AGENTS**

which are described and claimed in Application Serial Number \_\_\_\_\_ filed on even date herewith for United States Letters Patent in respect of which a Declaration and Power of Attorney is executed on even date herewith.

WHEREAS, EMC CORPORATION, a corporation organized and existing under and by virtue of the laws of the Commonwealth of Massachusetts, and having its principal place of business at 171 South Street, Hopkinton, Massachusetts 01748, is desirous of acquiring the entire interest in and to said invention, said Application and the Letters Patent to be obtained therefor.

NOW, THEREFORE, for good and valuable considerations, the receipt and sufficiency whereof are hereby acknowledged, We have sold, assigned, and set over, and by these presents do hereby sell, assign and set over to the said EMC CORPORATION, and said assignee's legal representatives, successors, and assigns, the entire right, title and interest in and to said invention, said Application and the Letters Patent, both foreign and domestic, that may or shall issue thereon including the right to claim in respect of any subsequent corresponding foreign patent applications and patents, the priority date of the said application under any international treaty; and We do hereby authorize and request the Commissioner of Patents to issue said Letters Patent to the above identified assignee in agreement with the terms of this Agreement.

UPON SAID CONSIDERATION, We do hereby covenant and agree with the said assignee that We will not execute any writing or do any act whatsoever conflicting with these presents, and that We will at any time upon request, without further or additional consideration, but at the expense of the said assignee, execute such additional assignments and other writings and such additional acts as said assignee may deem necessary or desirable to perfect the assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional, reissued, or extended

Letters Patent of the United States or of any and all foreign countries on said invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, by giving testimony in any proceedings or transactions involving such applications or patents, and by executing preliminary statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind and inure to the benefit of the assigns, heirs, and legal representatives of all parties hereto.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 4<sup>th</sup> day of February 2000

Name: STEPHEN TODD Seal: Stephen Todd

United States of America  
Commonwealth of Massachusetts  
County of Worcester

On this 4<sup>th</sup> day of February 2000, before me personally appeared STEPHEN TODD to me proved to be the person described in the foregoing Assignment, who acknowledged that he executed the foregoing Assignment of his own free will for the purposes therein set forth.

Joel Wall  
Notary Public

JOEL WALL  
Notary Public  
My Commission Expires February 12, 2004

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this 4<sup>th</sup> day of February 2000

Name: ANDREAS BAUER Seal: Andreas Bauer

United States of America  
Commonwealth of Massachusetts  
County of Worcester


On this 4<sup>th</sup> day of February, 2000, before me personally appeared ANDREAS BAUER, to me proved to be the person described in the foregoing Assignment, who acknowledged that he executed the foregoing Assignment of his own free will for the purposes therein set forth.

Joel Wall  
Notary Public

JOEL WALL  
Notary Public  
My Commission Expires February 12, 2004

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this fourth day of February 2003

Name: DAVID KURT SPENCER

Seal: 

United States of America  
Commonwealth of Massachusetts  
County of Worcester

On this 4<sup>th</sup> day of February, 2000, before me personally appeared DAVID KURT SPENCER, to me proved to be the person described in the foregoing Assignment, who acknowledged that he executed the foregoing Assignment of his own free will for the purposes therein set forth.

  
Notary Public

JOEL WALL  
Notary Public  
My Commission Expires February 12, 2004

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my seal this fourth day of February 2000

Name: WALTER T. DOBBERPUHL,

Seal: 

United States of America  
Commonwealth of Massachusetts  
County of Worcester

On this 4<sup>th</sup> day of February, 2000, before me personally appeared WALTER T. DOBBERPUHL, to me proved to be the person described in the foregoing Assignment, who acknowledged that he executed the foregoing Assignment of his own free will for the purposes therein set forth.

  
Notary Public

JOEL WALL  
Notary Public  
My Commission Expires February 12, 2004