



04-24-2000



ASSIGNMENT

SHEET

101331240

To: Honorable Commissioner of Patents and Trademarks:

Please record the attached original documents or copy thereof.

1. Name of conveying parties:  
a) OnTrak Systems, Inc.
2. Name and address of receiving parties:  
a) Name: Lam Research Corporation  
b) Address: 4650 Cushing Parkway, Fremont, CA 94538-6516
3. Nature of conveyance  

<input type="checkbox"/>	Assignment	<input checked="" type="checkbox"/>	Merger
<input type="checkbox"/>	Security Agreement	<input type="checkbox"/>	Change of Name
<input type="checkbox"/>	Other _____	<input type="checkbox"/>	License Agreement

Execution Date: **June 25, 1999**

4. Application Number or Patent Number: 09/037,586 filed March 9, 1998.

The title of the application is: **METHODS AND APPARATUS FOR CLEANING SEMICONDUCTOR SUBSTRATES AFTER POLISHING OF COPPER FILM**

5. Please send all correspondence concerning these documents to:

**Albert S. Penilla**  
MARTINE PENILLA & KIM, LLP  
710 Lakeway Drive, Suite 170  
Sunnyvale, CA 94086  
Tel. No. (408) 749-6900  
Fax No.: (408) 749-6901

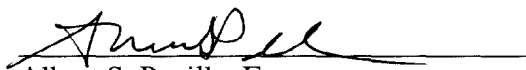
6. Total number of applications and patents involved: 1

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

- ☒ Enclosed  
☒ Authorized to be charged to Deposit Account No. 50-0805  
(Order No. LAM2P156)

8. 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: April 3, 2000

  
Albert S. Penilla, Esq.  
Registration No. 39,487

04/21/2000 JSHABAZZ 00000191 09037586

01 FC:581

40.00 DP

Attorney Docket No. LAM2P156

(Revised 01/96)

**PATENT**  
**REEL: 010714 FRAME: 0399**



**State of Delaware**

**Office of the Secretary of State** PAGE 1

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF OWNERSHIP, WHICH MERGES:

"ONTRAK SYSTEMS, INC.", A DELAWARE CORPORATION,  
WITH AND INTO "LAM RESEARCH CORPORATION" UNDER THE NAME OF  
"LAM RESEARCH CORPORATION", A CORPORATION ORGANIZED AND EXISTING  
UNDER THE LAWS OF THE STATE OF DELAWARE, AS RECEIVED AND FILED  
IN THIS OFFICE THE THIRTIETH DAY OF JUNE, A.D. 1999, AT 10  
O'CLOCK A.M.

A FILED COPY OF THIS CERTIFICATE HAS BEEN FORWARDED TO THE  
NEW CASTLE COUNTY RECORDER OF DEEDS.



Edward J. Freel, Secretary of State

2207172 8100M

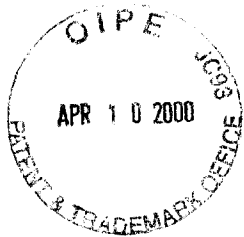
991266652

AUTHENTICATION: 9839169

DATE: 06-30-99

Appendix C, pg. 1 of 2 PATENT

REEL: 010714 FRAME: 0400



# **CERTIFICATE OF OWNERSHIP AND MERGER**

## **MERGING**

**ONTRAK SYSTEMS, INC.**

## **INTO**

**LAM RESEARCH CORPORATION**

(PURSUANT TO SECTION 253 OF THE GENERAL CORPORATION LAW OF THE STATE OF DELAWARE)

Lam Research Corporation, a Delaware corporation, (the "Parent"), does hereby certify:

**FIRST:** That Parent is incorporated pursuant to the General Corporation Law of the State of Delaware;

**SECOND:** That the Parent owns all of the outstanding shares of each class of the capital stock of OnTrak Systems, Inc., a Delaware corporation ("Sub"); and

**THIRD:** That Parent, by the following resolutions of its Board of Directors, duly adopted on June 25, 1999 determined to merge into itself OnTrak Systems, Inc., on the conditions set forth in such resolutions:

**RESOLVED,** that Parent merge into itself its wholly-owned subsidiary, OnTrak Systems, Inc., a Delaware corporation ("Sub"), and assume all of Sub's liabilities and obligations;

**RESOLVED FURTHER** that Parent shall be the surviving corporation upon effectiveness of the merger;

**RESOLVED FURTHER** that the directors and officers of Parent be, and each of them hereby is, authorized and directed to make, execute and acknowledge a certificate of ownership and merger setting forth a copy of the resolution to merge Sub into Parent and to assume Sub's liabilities and obligations and the date of adoption thereof and to file the same in the office of the Secretary of State of Delaware and a certified copy thereof in the Office of the Recorder of Deeds of Newcastle County."

**IN WITNESS WHEREOF,** said Lam Research Corporation has caused its corporate seal to be affixed and this certificate to be signed by Richard H. Lovgren, its authorized Secretary and corporate officer, this 25<sup>th</sup> day of June, 1999.

**LAM RESEARCH CORPORATION**

By: 

Richard H. Lovgren

Its: Vice President, General Counsel and Secretary

12150217

STATE OF DELAWARE  
SECRETARY OF STATE  
DIVISION OF CORPORATIONS  
FILED 10:00 AM 06/30/1999  
991266652 - 2207172

Appendix C, pg. 2 of 2

PATENT  
REEL: 010714 FRAME: 0401

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:

Xu Li et al.

Application No. 09/037,586

Filed: March 9, 1998

For: METHODS AND APPARATUS FOR  
CLEANING SEMICONDUCTOR SUBSTRATES  
AFTER POLISHING OF COPPER FILM



Group No: 1751

Examiner: Garrett, D.

Docket No: LAM2P156

Date: April 3, 2000

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on

DATE: April 3, 2000

Signed: \_\_\_\_\_

*Kay Harlow*  
Kay Harlow

**STATEMENT UNDER 37 C.F.R. § 3.73(b)  
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

1. The assignee of the entire right, title and interest hereby seek to take action in the PTO in this matter.

**IDENTIFICATION OF ASSIGNEE**

2. Lam Research Corporation  
Name of assignee  
Corporation of Delaware  
Type of assignee, e.g., corporation, partnership, university, government agency, etc.

**PERSON AUTHORIZED TO SIGN**

3. Richard Lovgren  
(type name of person authorized to sign on behalf of assignee)  
Vice President, General Counsel and Corporate Secretary  
Title of person authorized to sign

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

Attorney Docket No. LAM2P156

## BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

A.

- ☒ An assignment (document) separately being submitted for recordal herewith, which transfers ownership of this case from OnTrak Systems, Inc. to Lam Research Corporation.
- ☒ An Assignment Recordation Sheet (to Record Merger Document).
- ☒ A check in the amount of \$40.00.

AND

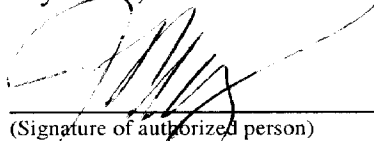
B.

- ☒ A chain of title from the inventor to the current assignee as shown below:  
Appendix A: U.S.P.T.O. Notice of Recordation of Assignment.  
Recorded in PTO: Reel 9346, Frame 0698.

Appendix B: Assignment from Xu Li, Yuexing Zhao, Diane J. Hymes, and John M. de Larios to OnTrak Systems, Inc., a California Corporation, and Assignment Recordation Sheet.

Recorded in PTO: Reel 9346 Frame 0698.

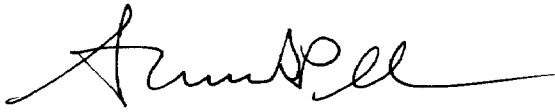
Appendix C: Certificate of Ownership and Merger evidencing:  
The merger of OnTrak Systems, Inc. into Lam Research Corporation.

 March 29, 2000  
(Signature of authorized person) (date)

Richard Lovgren  
(type or print name of authorized person)

Vice President, General Counsel and Corporate Secretary  
Title of authorized person

Respectfully submitted,  
MARTINE, PENILLA & KIM, LLP

  
Albert S. Penilla, Esq.  
Reg. No. 39,487

710 Lakeway Dr., Suite 170  
Sunnyvale, CA 94086  
(408) 749-6900

Attorney Docket No. LAM2P156

ENTERED

OCT 26 1998

STATUS DB-LA



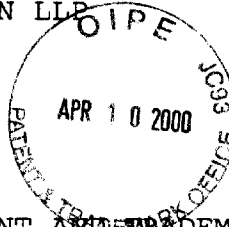
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

OCTOBER 17, 1998

PTAS

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
MICHAEL J. MALLIE  
12400 WILSHIRE BLVD.  
LOS ANGELES, CA 90025



\*100781900A\*

US730.0024X  
ONTRAK SYSTEMS  
UJM

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/27/1998

REEL/FRAME: 9346/0698  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LI, XU

DOC DATE: 07/15/1998

ASSIGNOR:

ZHAO, YUEXING

DOC DATE: 07/16/1998

ASSIGNOR:

HYMES, DIANE J.

DOC DATE: 07/21/1998

ASSIGNOR:

DE LARIOS, JOHN M.

DOC DATE: 07/21/1998

ASSIGNEE:

ONTRAK SYSTEMS, INC.  
1010 RINCON CIRCLE  
SAN JOSE, CALIFORNIA 95131

SERIAL NUMBER: 09037586  
PATENT NUMBER:

FILING DATE: 03/09/1998  
ISSUE DATE:

STATUS REPORT

RECEIVED

OCT 24 1998

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN  
LOS ANGELES

PATENT

REEL: 010714 FRAME: 0404

Appendix A 1 of 2

JOANN STEWART, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

*Appendix A 2 of 2*

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We

the undersigned, Xu Li, Yuexing Zhao, Diane J. Hymes, and John M. de Larios

hereby sell, assign, and transfer to OnTrak Systems, Inc.

a corporation of California, having a principal place of business at

1010 Rincon Circle, San Jose, California 95131, ("Assignee"), and its successors, assigns, and legal representatives, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements that are disclosed in the application for the United States patent that was filed March 9, 1998, and assigned Application No. 09/037,586 and is entitled

Methods and Apparatus For Cleaning Semiconductor Substrates After Polishing Of

Copper Film

and in and to said application and all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications that have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original patents, reissued patents, reexamination certificates, and extensions that have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application;

agree that said Assignee may apply for and receive a patent or patents for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns, and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney, and other papers; communicate to said Assignee, its successors, assigns, and representatives all facts known to the undersigned relating to said improvements and the history thereof; and generally assist said Assignee, its successors, assigns, or representatives in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements, and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns, and legal representatives; and

covenant with said Assignee, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Appendix B 1 of 2  
- 1 -

Rev. 12/29/97 (A2)

**PATENT**

**REEL: 010714 FRAME: 0406**



Date: 7-15-98, 1998

Xu Li  
Name: Xu Li

Date: 7-15-98, 1998

Yuexing Zhao  
Name: Yuexing Zhao

Date: 7/21/98, 1998

Diane J. Hymes  
Name: Diane J. Hymes

Date: 7/16/98, 1998

John M. de Larios  
Name: John M. de Larios

Date: \_\_\_\_\_, 19\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_, 19\_\_

Name: \_\_\_\_\_

State of: \_\_\_\_\_}

County of: \_\_\_\_\_}

Assignment Document Return Address:

SS. BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
12400 Wilshire Blvd., Seventh Floor  
Los Angeles, California 90025-1026  
(408) 720-8598

On this \_\_\_\_\_ day of \_\_\_\_\_, 19\_\_, before me, \_\_\_\_\_,  
the undersigned Notary Public, personally appeared \_\_\_\_\_

☐ personally known to me ☐ proved to me on the basis of satisfactory evidence to  
be the person(s) whose name(s) \_\_\_\_\_ subscribed to the within instrument, and  
acknowledged that \_\_\_\_\_ executed it.  
WITNESS my hand and official seal.

\_\_\_\_\_  
Notary's Signature

Appendix B 2 of 2