

04-25-2000

Attorney Docket No. 18078-001230US

FORM PTO-1395

(Rev. 6-93) **MA 12-2-99**

101333153

U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

Kai C. K. Sur (Deceased) by Linda S.L. Sun,
John L. Gimsley Executrix

Additional name(s) of conveying parties attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: Oak Technology, Inc.

Internal Address:

Street Address: 139 Kifer Court

City: Sunnyvale State: CA ZIP: 94086

Additional names and addresses attached?

☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: 07/13/99 and 08/06/99, respectively

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/324,990

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

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

Name: Henry K. Woodward
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(650) 326-2400

6. Total number of applications and patents involved 1

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

- ☐ Enclosed ☒ Charge Fees to Deposit Account
☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.

Henry K. Woodward
Name of Person Signing

Signature

Date

Atty Reg. No. 22,672

Total number of pages including cover sheet, attachments and document 10

10. Change Correspondence Address to that of Part 5? ☒ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

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Mail documents to be recorded with required cover to:

12/08/1999 DNGUYEN 00000113 201430 09324990

01 10:581

40.00 CH

Asst. Commissioner for Patents
Box: Assignments
Washington, D.C. 20231PATENT
REEL: 010716 FRAME: 0520

R

12-09-1999



Attorney Docket No. 18078-001230US

FORM PTO-1595

(Rev. 6-93) **MED 12-2-99**

101218110

U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof

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01 FC:581

40.00 CH

Asst. Commissioner for Patents
Box: Assignments
Washington, D.C. 20231PATENT
REEL: 010716 FRAME: 0521

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, **KAI C.K. SUN**, of 12502 Parker Ranch Court, Saratoga, CA 95070, and **JOHN L. GRIMSLEY**, of 675 Teresi Lane, Los Altos, CA 94024, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: PROCESSING OF DISC-DRIVE
PICKUP SIGNALS

Filing Date: June 2, 1999

Application No.: 09/324,990; and

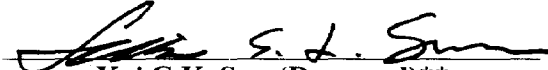
WHEREAS, **OAK TECHNOLOGY, INC.**, a Delaware corporation, located at 139 Kifer Court, Sunnyvale, CA 94086, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

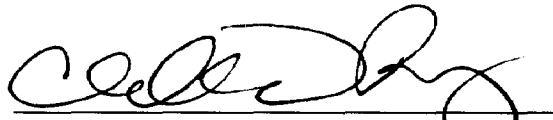
Date: July 13, 1999


Kai C.K. Sun (Deceased)**

by Linda S. L. Sun, Executrix

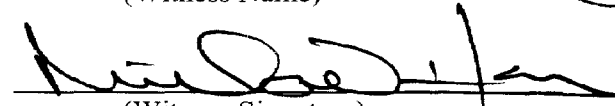
WITNESSED BY:

Date: 13 July 1999


(Witness Signature)

Clifford B. Perry
(Witness Name)

Date: July 13, 1999


(Witness Signature)

(Witness Name)

Date: _____

John L. Grimsley

WITNESSED BY:

Date: _____

(Witness Signature)

(Witness Name)

Date: _____

(Witness Signature)

(Witness Name)

**** PLEASE SEE DOCUMENTS ATTACHED TO ASSIGNMENT EXECUTED ON BEHALF OF
DECEASED INVENTOR.**

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, **KAI C.K. SUN**, of 12502 Parker Ranch Court, Saratoga, CA 95070, and **JOHN L. GRIMSLEY**, of 675 Teresi Lane, Los Altos, CA 94024, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: PROCESSING OF DISC-DRIVE
PICKUP SIGNALS

Filing Date: June 2, 1999

Application No.: 09/324,990; and

WHEREAS, **OAK TECHNOLOGY, INC.**, a Delaware corporation, located at 139 Kifer Court, Sunnyvale, CA 94086, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

JPS 8/6/99

Assignors further agree that they will, ~~without charge to Assignee~~, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated

Date: _____

Kai C.K. Sun (Deceased)**
by Linda S. L. Sun, Executrix

WITNESSED BY:

Date: _____

(Witness Signature)

(Witness Name)

Date: _____

(Witness Signature)

(Witness Name)

Dated: 3/6/99

John L. Grimsley
John L. Grimsley

WITNESSED BY:

Date: 3-6-1999

Joe Do-On Yee
(Witness Signature)
JOE DO-ON YEE
(Witness Name)

Date: 3-6-1999

Peter Tang
(Witness Signature)
PETER TANG
(Witness Name)

**** PLEASE SEE DOCUMENTS ATTACHED TO ASSIGNMENT EXECUTED ON BEHALF OF
DECEASED INVENTOR.**

One World Trade Center
Suite 3857, New York, NY 10048
(212) 775 0698

701 So. Atlantic Blvd.
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San Francisco, CA 94104
Tel: 415-693-9981
Fax: 415-693-0829

Michael Hsu*

Simon Shen*

Phoebe Chiu*

FROM: Phoebe Chiu
TO: Patent and Trademark Office
DATE: July 26, 1999
RE: Kai C. K. Sun Patent Application

MEMORANDUM

Our client Mr. Kai C. K. Sun owned certain patent rights (the "Patent Rights"). Upon Mr. Sun's death on October 1, 1998, the Patent Rights became part of his estate. Mr. Sun executed a will on August 2, 1980 in which he named Mrs. Sun as the executrix of the will. In the will, Mr. Sun bequeathed all residue of his estate to the Sun Living Trust which includes the Patent Rights. Mrs. Sun is also designated as the sole successor trustee of the Sun Living Trust.

Since the Sun Living Trust has become the legal owner of the Patent Rights upon Mr. Sun's death and Mrs. Sun is the sole trustee of the Sun Living Trust, it is, therefore, concluded that Mrs. Sun has the power to sign all patent rights application pertaining to the Patent Rights owned by Mr. Sun.

cc: Clifford B. Perry (Townsend and Townsend and Crew)

* admitted to practice in the State of California
* admitted to practice in the State of New York

CERTIFICATION OF VITAL RECORD

COUNTY of SANTA CLARA

PUBLIC HEALTH

2220 MOORPARK AVENUE., SAN JOSE, CALIFORNIA 95128

CERTIFICATE OF DEATH

STATE OF CALIFORNIA

USE BLACK INK ONLY/NO ERASURES, WHITEOUTS OR ALTERATIONS
VS-11 (REV. 7/87)

STATE FILE NUMBER		LOCAL REGISTRATION NUMBER					
1. NAME OF DECEDENT—FIRST GIVEN KAI		2. MIDDLE C.K.		3. LAST (FAMILY) SUN			
4. DATE OF BIRTH MM/DD/CCYY 03/04/1941		5. AGE YRS. 57		6. SEX M		7. DATE OF DEATH MM/DD/CCYY 10/01/1998	
8. HOUR 2017		9. STATE OF BIRTH CHINA		10. SOCIAL SECURITY NO. 568-86-6687		11. MILITARY SERVICE <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO <input type="checkbox"/> UNK	
12. MARITAL STATUS MARRIED		13. EDUCATION—YEARS COMPLETED 17		14. RACE CHINESE		15. HISPANIC—SPECIFY <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
16. USUAL EMPLOYER OAK TECH		17. OCCUPATION DIRECTOR OF ENGINEERING		18. KIND OF BUSINESS ELECTRONICS		19. YEARS IN OCCUPATION 28	
20. RESIDENCE—(STREET AND NUMBER OR LOCATION) 12502 PARKER RANCH COURT		21. CITY SARATOGA		22. COUNTY SANTA CLARA		23. ZIP CODE 95070	
24. YRS IN COUNTY 31		25. STATE OR FOREIGN COUNTRY CA		26. NAME, RELATIONSHIP LINDA SUN-SPOUSE		27. MAILING ADDRESS (STREET AND NUMBER OR RURAL ROUTE NUMBER, CITY OR TOWN, STATE, ZIP) 12502 PARKER RANCH COURT, SARATOGA, CA 95070	
28. NAME OF SURVIVING SPOUSE—FIRST LINDA		29. MIDDLE S.L.		30. LAST (MAIDEN NAME) LIU			
31. NAME OF FATHER—FIRST DAI		32. MIDDLE DEH		33. LAST PHONG		34. BIRTH STATE CHINA	
35. NAME OF MOTHER—FIRST FEN-CHI		36. MIDDLE -		37. LAST (MAIDEN) SUN		38. BIRTH STATE CHINA	
39. DATE MM/DD/CCYY 10/09/1998		40. PLACE OF FINAL DISPOSITION GATE OF HEAVEN CEMETERY, LOS ALTOS, CA					
41. TYPE OF DISPOSITION(S) BURIAL		42. SIGNATURE OF EMBALMER <i>Daryl L. Ferraro</i>		43. LICENSE NO. 6384		44. NAME OF FUNERAL DIRECTOR LIMA FAMILY SUNNYVALE	
45. LICENSE NO. FD 1169		46. SIGNATURE OF LOCAL REGISTRAR <i>Martin D. Fensterstheib</i>		47. DATE MM/DD/CCYY 10/06/1998		48. SIGNATURE OF CORONER <i>Tony Chen</i>	
49. LICENSE NO. A-45142		50. DATE MM/DD/CCYY 10/06/1998		51. TYPE ATTENDING PHYSICIAN'S NAME, MAILING ADDRESS, ZIP TONY CHEN, MD. 20362 TOWN CENTER LN. CUPERTINO, CA 95014		52. INJURY AT WORK <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
53. INJURY DATE MM/DD/CCYY 10/01/1998		54. HOUR 2017		55. PLACE OF INJURY LOS GATOS		56. DESCRIBE HOW INJURY OCCURRED (EVENTS WHICH RESULTED IN INJURY) NONE	
57. MANNER OF DEATH <input type="checkbox"/> NATURAL <input type="checkbox"/> SUICIDE <input type="checkbox"/> HOMICIDE <input type="checkbox"/> ACCIDENT <input type="checkbox"/> PENDING INVESTIGATION <input type="checkbox"/> COULD NOT BE DETERMINED		58. LOCATION (STREET AND NUMBER OR LOCATION AND CITY, ZIP) 2580 SAMARITAN DR		59. SIGNATURE OF CORONER OR DEPUTY CORONER <i>Tony Chen</i>		60. DATE MM/DD/CCYY 10/06/1998	
61. TYPED NAME, TITLE OF CORONER OR DEPUTY CORONER TONY CHEN, MD.		62. FAX AUTH. # 16934		63. CENSUS TRACT 16934		64. STATE OF CALIFORNIA CERTIFIED COPY OF VITAL RECORDS	

H 1059356

STATE OF CALIFORNIA
COUNTY OF SANTA CLARA

CERTIFIED COPY OF VITAL RECORDS
DATE ISSUED
By

This is a true and exact reproduction of the document officially registered and placed on file in the VITAL RECORDS SECTION, DEPARTMENT OF PUBLIC HEALTH.

10/13/1998

This copy not valid unless prepared on engraved border displaying seal and signature of Registrar.

Martin D. Fensterstheib
MARTIN D. FENSTERSTHEIB
HEALTH OFFICER AND LOCAL REGISTRAR
OF BIRTHS AND DEATHS



RECORDED: 12/02/1999

PATENT
REEL: 010716 FRAME: 0527