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S ONLYU.S. DEPARTMENT OF COMMERCE
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To the Commissioner of

attached original documents or copy thereof.

1. Name of conveying party(ies):

KAZUHITO KURITA, TADAMI NAKAMURA, YASUHIRO HABARA and
MAKOTO SAITO

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

3. Nature of Conveyance:

7-13-2000

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

Execution Date: June 9, 2000; June 13, 2000; June 14,
2000 and June 15, 2000

2. Name and address of receiving party(ies):

Name: SONY CORPORATION

Internal Address:

Street Address: 7-35, Kitashinagawa 6-chome, Shinagawa-ku

City, State and Zip: Tokyo 141-0001, Japan

Additional Name(s) & address(es) attached?

☐ Yes ☒ No

4. Application number(s) or patent number(s):

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

- A. Application No. 09/555,433
B. International Application No. PCT/JP99/05429
C. International Filing Date: October 1, 1999

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Charles P. Sammut

Internal Address: Limbach & Limbach L.L.P.
Street Address: 2001 Ferry Building
City, State, ZIP: San Francisco, California 94111
Telephone: (415) 433-4150
Facsimile: (415) 433-8716

Attorney Docket No. K01K-09193

6. Total number of applications and patents involved: 1

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

- ☒ Enclosed
☒ Charge any deficiencies in the enclosed fee to
Deposit Account No. 12-1420
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8. Deposit account number: 12-1420

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9. 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.

Mayumi Maeda, Reg. No. 40,075
Name of Person Signing

Signature

July 10, 2000
Date

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Docket Number: KOIK-Q9193

ASSIGNMENT

WHEREAS, I, as a below named inventor, residing at the address stated next to my name, am a sole inventor (if only one name is listed below) or a joint inventor (if plural names are listed below) of certain new and useful improvements in RECORDING AND/OR REPRODUCING APPARATUS EMPLOYING DISC CARTRIDGE for which application for Letters Patent of the United States of America was executed by me on the date indicated next to my name and address;

AND WHEREAS, SONY CORPORATION, a Japanese corporation with offices at 7-35, Kitashinagawa 6-chome, Shinagawa-ku, Tokyo 141-0001 Japan (hereinafter referenced as ASSIGNEE) is desirous of acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, I, as a sole or joint inventor as indicated below, by these presents do hereby assign, sell and transfer unto the said ASSIGNEE, its successors, assigns, and legal representatives, the entire right, title and interest in the said invention, said application, including any divisions and continuations thereof, and in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue the said United States Letters Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid invention, as the ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment and sale.

And I hereby authorize and request my attorney(s) of record in this application to insert the serial number and filing date of this application in the spaces that follow: International Serial Number: PCT/JP99/05429, International Filing Date: October 1, 1999.

This assignment executed on the dates indicated below.

KAZUHITO KURITA

Name of first or sole inventor

Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of first or sole inventor

Kazuhito Kurita

Signature of first or sole inventor

June 9, 2000

Date of this assignment

PATENT

REEL: 011040 FRAME: 0170

TADAMI NAKAMURA

Name of second inventor

Execution date of U.S. Patent Application

Saitama, Japan

Residence of second inventor

Tadami Nakamura

Signature of second inventor

June 13, 2000

Date of this assignment

YASUHIRO HABARA

Name of third inventor

Execution date of U.S. Patent Application

Kanagawa, Japan

Residence of third inventor

Yasuhiro Habara

Signature of third inventor

June 14, 2000

Date of this assignment

MAKOTO SAITO

Name of fourth inventor

Execution date of U.S. Patent Application

Tokyo, Japan

Residence of fourth inventor

Makoto Saito

Signature of fourth inventor

June 15, 2000

Date of this assignment