

REC

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Docket: YOR9-2000-0209US1

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Evan George Colgan, Hisanori Kinoshita,  
Hiroaki Kitahara, Kai R. Schleupen  
Additional name(s) of conveying party(ies)  
attached? ☐ Yes ☒ No

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

Name: International Business Machines Corporation  
Armonk, New York 10504

3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Additional name(s) & address(es) attached:  
☐ Yes ☒ No

Execution Date: July 17, 21 and 26, 2000

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. Patent Application No.(s)

09/585,767

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Frank Chau, Esq.  
Street Address: F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Turnpike, Suite 501  
City: East Meadow State: NY Zip: 11554

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. §3.41): \$40.00  
☐ Enclosed  
☒ Authorized to be charged to deposit account

8. Deposit account number:  
50-0510/IBM (Yorktown Heights)  
(Attach duplicate copy of this page if paying by deposit account)

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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.

James J. Bitetto

Registration No. 40,513

Name of Person Signing

signature

Date

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# Assignment

Whereas, we

Inventor  
and City

(1) **Evan George Colgan**  
County of **Rockland**

of **Chestnut Ridge**  
and State of **New York**

and (2) **Hisanori Kinoshita**  
County of

of **Kusatsu-shi, Shiga-ken**  
and Country of **Japan**

and (3) **Hiroaki Kitahara**  
County of

of **Ohtsu-shi Shiga-ken**  
and Country of **Japan**

and (4) **Kai R. Schleupen**  
County of **Westchester**

of **Yorktown Heights**  
and State of **New York**

have invented certain improvements in U.S. Serial No. 09/585,767 filed June 2, 2000

TITLE **METHOD OF FORMING FULLY SELF-ALIGNED TFT WITH IMPROVED PROCESS WINDOW**

and executed, respectively, a United States patent application therefor on  
DATES THAT (1) July 17, 2000 and (2) July 26, 2000 and (3) July 26, 2000  
INVENTORS (4) July 21, 2000 and (5) 2000 and (6) 2000.  
SIGNED THE  
DECLARATION

Whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York, having a place of business at Armonk, New York 10504, (hereinafter called IBM) desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we the above named, hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right, title and interest in the said application and invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and we request the Commissioner of Patents to issue any Letters Patent granted upon the inventions set forth in said application to IBM, its successors and assigns; and we hereby agree that IBM may apply for foreign Letters Patent on said invention and we will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

CITY	(1) at	Signed and sealed	<u><i>Evan George Colgan</i></u>	SIGNATURE
DATE	on	<u>July 17,</u> 2000,	( <b>Evan George Colgan</b> ) INVENTOR	
			FIRST NAME MIDDLE INITIAL LAST NAME	
CITY	and (2) at	Signed and sealed	<u><i>Hisanori Kinoshita</i></u>	SIGNATURE
DATE	on	<u>July 26</u> 2000,	( <b>Hisanori Kinoshita</b> ) INVENTOR	
			FIRST NAME MIDDLE INITIAL LAST NAME	
CITY	and (3) at	Signed and sealed	<u><i>Hiroaki Kitahara</i></u>	SIGNATURE
DATE	on	<u>July 26</u> 2000,	( <b>Hiroaki Kitahara</b> ) INVENTOR	
			FIRST NAME MIDDLE INITIAL LAST NAME	
CITY	and (4) at	Signed and sealed	<u><i>Kai R. Schleupen</i></u>	SIGNATURE
DATE	on	<u>July 21,</u> 2000,	( <b>Kai R. Schleupen</b> ) INVENTOR	
			FIRST NAME MIDDLE INITIAL LAST NAME	
CITY	and (5) at	Signed and sealed	_____	SIGNATURE
DATE	on	2000,	( ) INVENTOR	
			FIRST NAME MIDDLE INITIAL LAST NAME	
CITY	and (6) at	Signed and sealed	_____	SIGNATURE
DATE	on	2000,	( ) INVENTOR	
			FIRST NAME MIDDLE INITIAL LAST NAME	

State of New York ) SS.:  
County of Westchester )

On this 17<sup>th</sup> day of July 2000, before me personally came  
INVENTOR **Evan George Colgan** to me personally known, and known to me to be the  
(1) person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.

**MARGARET McCABE**  
Notary Public, State of New York  
No: 01MC6034922  
Qualified in Westchester County  
Commission Expires Dec. 20, 2001

*Margaret McCabe*  
Notary

State of Shiga-ken ) SS.:  
County of Kusatsu-shi )

On this 26<sup>th</sup> day of July 2000, before me personally came  
INVENTOR **Hisanori Kinoshita** to me personally known, and known to me to be the  
(2) person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.

*Hisanori Kinoshita*  
Notary

State of Shiga-ken ) SS.:  
County of Ohtsu-shi )

On this 26<sup>th</sup> day of July 2000, before me personally came  
INVENTOR **Hiroaki Kitahara** to me personally known, and known to me to be the  
(3) person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.

*Hiroshi Sakaguchi*  
**HIROSHI SAKAGUCHI (Patent Attorney)**  
(Registration Number : 8624)

State of New York ) SS.:  
County of Westchester )

On this 21<sup>st</sup> day of July 2000, before me personally came  
INVENTOR **Kai R. Schleupen** to me personally known, and known to me to be the  
(4) person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.

**MARGARET McCABE**  
Notary Public, State of New York  
No: 01MC6034922  
Qualified in Westchester County  
Commission Expires Dec. 20, 2001

*Hiroshi Sakaguchi*  
**HIROSHI SAKAGUCHI (Patent Attorney)**  
(Registration Number : 8624)

State of ) SS.:  
County of )

On this day of 2000, before me personally came  
INVENTOR to me personally known, and known to me to be the  
(5) person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.

Notary

State of ) SS.:  
County of )

On this day of 2000, before me personally came  
INVENTOR to me personally known, and known to me to be the  
(6) person described in and who executed the foregoing assignment, and he acknowledged  
to me that he executed the same as his free act and deed.

Notary