

11-16-2000

PATENT101518730
**RECORDATION FORM COVER SHEET
PATENTS ONLY**

11-6-00

TO: The Commissioner of Patent and Trademarks: Please record the attached original document(s) or copy(ies).**Submission Type**☒ New
☐ Resubmission (non-Recordation)
Document ID# _____☐ Correction of PTO Error

Reel # _____ Frame # _____

☐ Corrective Document

Reel # _____ Frame # _____

Conveyance Type☐ Assignment ☐ Security Agreement☐ License ☒ Change of Name☐ Merger ☐ Other _____**U.S. Government**

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File ☐ Secret File**Conveying Party(ies)**☐ Mark if additional names of conveying parties attachedName (line 1) Balzers Hochvakuum AG

Name (line 2) _____

Month Day Year
10271999**Second Party**

Name (line 1) _____

Name (line 1) _____

Month Day Year

_____**Receiving Party**☐ Mark if additional names of receiving parties attachedName (line 1) Unaxis Trading Limited

Name (line 2) _____

Address (line 1) P.O. Box 1000

Address (line 2) _____

Address (line 3) _____

Balzers

City

Liechtenstein

State/County

FL-9496

Zip Code

☐ If document to be recorded
is an assignment and the
receiving party is not
domiciled in the United
States, an appointment
of a domestic
representative is attached.
(Designation must be a
separate document from
Assignment.)**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name _____

Address (line 1) _____

Address (line 2) _____

Address (line 3) _____

FOR OFFICE USE ONLY

11/14/2000 MTHAI1 00000255 09218934

01 FC:5:81

30.00 UP

Correspondent Name and AddressArea Code and Telephone Number (602) 956-7000Name Marvin A. GlazerAddress (line 1) CAHILL, SUTTON & THOMAS, P.L.C.Address (line 2) 155 Park OneAddress (line 3) 2141 E. Highland AvenueAddress (line 3) Phoenix, AZ 85016-4737**Pages** Enter the total number of pages of the attached conveyance document
including any attachment.# 5**Application Number(s) or Patent Number(s)** Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH NUMBERS FOR THE SAME PROPERTY).

Patent Application Number(s)

09/218,934**09/219,090**

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was
signed by the first named executing inventor.Month Day Year
 Patent Cooperation Treaty (PCT)Enter PCT application number
only if a U.S. Application Number
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved.

2**Fee Amount**

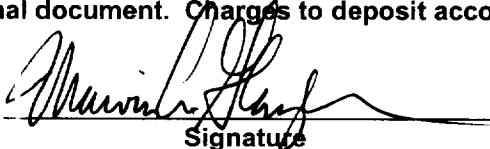
Fee Amount for Properties Listed (37 CFR 3.41):

\$ 80.00**Method of Payment:**Enclosed XDeposit Account **Deposit Account**

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:# 03-0088**Authorization to charge additional fees:**Yes X No **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. Charges to deposit account are authorized,
as indicated herein.Marvin A. Glazer

Name of Person Signing



Signature

Nov. 2, 2000

Date



**EXTRACT FROM THE COMMERCIAL REGISTER OF THE
CANTON OF St. GALL, SWITZERLAND
MAIN REGISTER**

Company No. CH 320.3.040.000-8

Name: Unaxis Trading AG (See comment No. 4)
Unaxis Trading Ltd.
Unaxis Trading SA
(Formerly Balzers Hochvakuum AG, (see comment No. 1) Wartau,

Date of entry: 21. 12. 1995

Legal nature: Company Limited by Shares

Domicile: c/o Balzers AG, 9477 Trübbach

Capital: CHF 8,000,000.- fully paid up and divided into 8,000 registered shares each having a nominal value of CHF 1,000.-

Objects: The objects of the Company shall be the acquisition, holding and exploitation of patents and licences in the sphere of high technology, relating particularly to protection against wear in coating technology also of measuring devices and vacuum equipment. The Company may establish subsidiary companies and branches at home and abroad; it may also acquire participations.

Comments: 1. 1. The transferability of the registered shares is restricted in accordance with the provisions contained in the Articles. Date of Articles 20.06.1968 and 19.12.1995.
3, 4. The cancelled entries (in the original extract) relating to the time before the entry in the C. R. of the Canton of St. Gall, as well as possible earlier provisions in Articles, TB entries or SHAB quotations may be examined in the extracts from the Commercial Register of the previous domicile, which are filed in the Commercial Register files.
Date of Articles 18.06.1997 and 13.10.1999.

Concerning subscriptions in kind, assumption of subscriptions in kind, special advantages, participation certificates, refer to the SHAB (publication journal).

Company Notices: Shall ensue by registered letter.

Board of Directors: Andreas Vogt, Liechtenstein citizen,
Balzers, Liechtenstein,
Chairman of the Board of Directors with joint signature rights
with one other person

Anton Angehrn,
from Muolen, in Buchs SG
Member of the Board of Directors with joint signature rights
with one other person

Erich Haefeli,
from Zurich and Klingnau, in Vaduz, Liechtenstein,
Member of the Board of Directors, with joint signature rights
with one other person

Büro Bryan Jeeves Est.

*Allgemein beordeter
Dolmetscher und Übersetzer*

*Postfach 70
FL 9490 Vaduz · Fürstentum Liechtenstein
Telefon (075) 232 24 37 · Telefax 889 384 61/62
Telefax (075) 232 87 28*

*I, Bryan Jeeves, Generally sworn
Interpreter and Translator duly
admitted by the Princely Liechtenstein
Government, hereby confirm, that
the enclosed translation is a full,
true and faithful translation of the
original, made by me.*

*Ich, Bryan Jeeves, in Eigenschaft eines
allgemein beordneten und durch die
Fürstlich Liechtensteinische Regierung
amtlich zugelassenen Dolmetschers so wie
Übersetzers, bestätige hiermit, dass die
beigelegte Übersetzung auf Grund des
Originals vollständig und wahrheitsgetreu
durch mich übersetzt wurde.*

*Signed and sealed
Vaduz, this 27 day of September 1990*

Bryan Jeeves

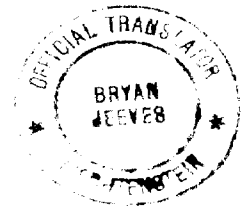
4071/9



*Die Echtheit der Unterschrift des
Herrn Bryan JEEVES,
Städtle 7, FL 9490 Vaduz,
wird amtlich bestätigt.
Fürstl. Liechtenstein. Landgerichtskanzlei
Vaduz, den 27. SEP. 1990*

*Duly admitted for the Principality
of Liechtenstein*

*Zugelassen für das Gebiet des
Fürstentums Liechtenstein*



Urs Wegmann,
from Winterthur and Volketswil, in Oberachen (Wartau),
Member of the Board of Directors, with joint signature rights
with one other person

Kaspar Hanselmann,
from Wartau, in Oberschan (Wartau)
Member of the Board of Directors, with joint signature rights
with one person

Auditors: ATAG Ernst & Young AG, Zurich

Copy attested 27. October 1999

(signed)

The Registrar

This extract is not valid without the above original attestation. When specially demanded an extract may be also provided which contains only the entries which are at present valid.

**RECORDATION FORM COVER SHEET
PATENTS ONLY****TO: The Commissioner of Patent and Trademarks: Please record the attached original document(s) or copy(ies).****Submission Type**☒ New
☐ Resubmission (non-Recordation)
Document ID# _____☐ Correction of PTO Error
Reel # _____ Frame # _____☐ Corrective Document
Reel # _____ Frame # _____**Conveyance Type**☐ Assignment ☐ Security Agreement
☐ License ☒ Change of Name
☐ Merger ☐ Other _____**U.S. Government**

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File ☐ Secret File**Conveying Party(ies)**☐ Mark if additional names of conveying parties attachedName (line 1) Balzers Hochvakuum AG

Name (line 2) _____

Month Day Year
10271999**Second Party**

Name (line 1) _____

Name (line 1) _____

Month Day Year

_____**Receiving Party**☐ Mark if additional names of receiving parties attachedName (line 1) Unaxis Trading Limited

Name (line 2) _____

Address (line 1) P.O. Box 1000

Address (line 2) _____

Address (line 3) Balzers Liechtenstein FL-9496
City State/County Zip Code☐ If document to be recorded
is an assignment and the
receiving party is not
domiciled in the United
States, an appointment
of a domestic
representative is attached.
(Designation must be a
separate document from
Assignment.)**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name _____

Address (line 1) _____

Address (line 2) _____

Address (line 3) _____

FOR OFFICE USE ONLY

Correspondent Name and AddressArea Code and Telephone Number (602) 956-7000Name Marvin A. GlazerAddress (line 1) CAHILL, SUTTON & THOMAS, P.L.C.Address (line 2) 155 Park OneAddress (line 3) 2141 E. Highland AvenueAddress (line 3) Phoenix, AZ 85016-4737**Pages** Enter the total number of pages of the attached conveyance document
including any attachment.# 5**Application Number(s) or Patent Number(s)** Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH NUMBERS FOR THE SAME PROPERTY).

Patent Application Number(s)

09/218,934
09/219,090

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was
signed by the first named executing inventor.Month Day Year **Patent Cooperation Treaty (PCT)**Enter PCT application number
only if a U.S. Application Number
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved.

2**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41):

\$ 80.00Method of Payment:
Deposit AccountEnclosed XDeposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

03-0088Authorization to charge additional fees: Yes X No **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. Charges to deposit account are authorized,
as indicated herein.Marvin A. Glazer

Name of Person Signing


SignatureNov. 2, 2000

Date



Handelsregister des Kantons St. Gallen - Hauptregister

Firmennummer	Rechtsnatur	Eintragung	Löschung	Uebertrag	
CH-320.3.040.000-8	Aktiengesellschaft	21.12.1995		von: auf:	1

Alle Eintragungen

Ei	Lö	Firma	Ref	Sitz
1		Balzers-Hochvakuum AG	0	bisher in Zürich
1	4	(Balzers-technique du vide SA) (Balzers S.p.A. tecnica dell'alto vuoto)	1	Wartau
4		Unaxis Trading AG		
4		(Unaxis Trading Ltd) (Unaxis Trading SA)		

Ref	Aktienkapital (CHF)	Liberierung (CHF)	Aktien-Stückelung	Ref	Adresse der Firma
1	8'000'000.--	8'000'000.--	8'000 Namenaktien zu CHF 1'000.--	1	c/o Balzers AG 9477 Trübbach
Ref	PS-Kapital (CHF)	Liberierung (CHF)	Partizipationsscheine		

Ei	Lö	Zweck	Ref
1	1	Vertrieb von technischen Geräten aller Art, insbesondere von Hochvakuumgeräten und -anlagen unter den Markenbezeichnungen "Balzers" und "Pfeifer", sowie von unter Verwendung von Vakuum hergestellten Produkten, usw.	
1		Erwerb, Halten und Verwertung von Patenten und Lizenzen im Bereich Hochtechnologie, insbesondere im Verschleisschutz, in der Beschichtungs-technik sowie von Messgeräten und Vakuumzubehör; die Gesellschaft kann im In- und Ausland Tochtergesellschaften und Zweigniederlassungen gründen sowie Beteiligungen erwerben.	

Ei	Lö	Bemerkungen	Ref	Statutendatum
1		Die Übertragbarkeit der Namenaktien ist nach Massgabe der Statuten beschränkt.	1	20.06.1968
1		Die vor der Eintragung im Kanton St. Gallen gestrichenen Tatsachen, sowie allfällige frühere Statutendaten oder Tagebuch- und SHAB-Zitate können im Registerauszug des bisherigen Sitzes, welcher bei den abgelegten Handelsregisterakten liegt, eingesehen werden.	1	19.12.1995
			3	18.06.1997
3		Die Mitteilungen der Gesellschaft an die Aktionäre erfolgen durch eingeschriebenen Brief.	4	13.10.1999

Ei	Lö	Sacheinlagen, Sachübernahmen, beson Vorteile, Genussscheine	Ref	Publikationsorgan
			1	SHAB

Ei	Lö	Zweigniederlassung	Ei	Lö	Zweigniederlassung	Ei	Lö	Zweigniederlassung	Ei	Lö	Zweigniederlassung

Ze	Ref	TB-Nr	TB-Datum	SHAB	SHAB-Datum	Seite	Ze	Ref	TB-Nr	TB-Datum	SHAB	SHAB-Datum	Seite
MH	1	8692	21.12.1995	252	29.12.1995	7050	GE	4	6747	20.10.1999	208	26.10.1999	308
EH	2	3634	23.05.1996	103	30.05.1996	3144							
GE	3	4946	08.07.1997	132	14.07.1997	4951							

Leg: P = Präsident(in) des VR	VR = Verwaltungsrat	GF = Geschäftsführer(in)	EU = Einzelunterschrift
VP = Vizepräsident(in) des VR	Liq = Liquidator(in)	b.a = beschränkt auf	KU = Kollektivunterschrift
Del = Delegierte(r) des VR	GD = Generaldirektor(in)	HS = Hauptsitz	EP = Einzelprokura
M = Mitglied des VR	D = Direktor(in)	ZN = Zweigniederlassung	KP = Kollektivprokura
S = Sekretär(in)	VD = Vizedirektor(in)	ZB = Zeichnungsberechtigt.	Stv = Stellvertreter(in)

Ei	Ae	Lö	Personalangaben	Funktion	Zeichnungsart
1		1	Klaus, Heinz, von Kirchberg SG, in Schaan (FL)	Präsident	KU zu zweien
1		1m	Angehrn, Anton, von Muolen, in Sevelen	Mitglied	KU zu zweien
1			Hanselmann, Kaspar, von Wartau, in Oberschan (Wartau)	Mitglied	KU zu zweien
1		1	Leder, André B., von Basel, in Zollikon	Geschäftsführer	KU zu zweien
1		1	Born, Hans-Peter, von Thunstetten, in Langnau am Albis		KP zu zweien
1		1	Kaufmann, Markus, von Schänis, in Uster		KP zu zweien
1		1	Reichsteiner, Ernst, von Zürich und Walzenhausen, in Fällanden		KP zu zweien
1		1	Willi, Alex, von Sargans, in Sargans		KP zu zweien
1			ATAG Ernst & Young AG, in Zürich	Revisionsstelle	
1			Vogt, Andreas, liechtensteinischer Staatsangehöriger, in Balzers (FL)	Präsident	KU zu zweien
2	1		Angehrn, Anton, von Muolen, in Buchs SG	Mitglied	KU zu zweien
2			Haefeli, Erich, von Zürich und Klingnau, in Vaduz (FL)	Mitglied	KU zu zweien
			Wegmann, Urs, von Winterthur und Volketswil, in Oberschan (Wartau)	Mitglied	KU zu zweien



Handelsregister des Kantons St. Gallen - Hauptregister

CH-320.3.040.000-8	Unaxis Trading AG	Wartau	2
--------------------	-------------------	--------	---

Alle Eintragungen

St. Gallen, 27.10.1999 07:50

Dieser Auszug hat ohne die nebenstehende Originalbeglaubigung keine Gültigkeit. Auf besonderes Verlangen kann auch ein Auszug erstellt werden, der lediglich alle gegenwärtig gültigen Eintragungen enthält.

