

RECORDED

12-07-2000

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office



Tab t settings: t t

101542589

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

1. Name of conveying parties:

STEPHEN WALLACE, DOUGLAS M. SMITH, TERESA RAMOS, KEVIN H. RODRICK and JAMES S. DRAGE

Additional name(s) & party(ies) attached? ☐ Yes ☒ No

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

Name: HONEYWELL INTERNATIONAL INC

Internal Address: PATENT DEPARTMENT

Street Address: 101 COLUMBIA ROAD

City: MORRISTOWN State: NJ Zip: 07960

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

3. Nature of conveyance

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

Execution Date: Nov. 1, 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: Nov. 1, 2000

A. Patent Application No (s)

B. Patent No.(s)

09/704028 Additional numbers attached? ☐ Yes ☒ No

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

Name: Melanie L. Brown

Internal Address: HONEYWELL INTERNATIONAL INC

PATENT DEPARTMENT

Street Address: 101 COLUMBIA ROAD

City: MORRISTOWN State: NJ Zip: 07960

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

8. Deposit account number:

01-1125

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

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.

Richard S. Roberts

Name of Person Signing

Signature

Nov. 3, 2000

Date

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

Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner for Patents, Box Assignments

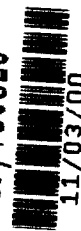
Washington, D.C. 20231

PATENT

REEL: 011299 FRAME: 0612

10653 U.S. PTO

09/706028



11/03/00

## ASSIGNMENT

Assignment before issue of Letters Patent

HW File 30-4302(4780) CIP:

WHEREAS, STEPHEN WALLACE, DOUGLAS M. SMITH, TERESA RAMOS, KEVIN H. RODRICK and JAMES S. DRAGE

(hereinafter "Assignor") have invented certain new and useful improvements in

NANOPOROUS DIELECTRIC FILMS WITH GRADED DENSITY AND PROCESS FOR MAKING SUCH FILMS

(hereinafter "invention") for which Assignor is making or has made application for LETTERS PATENT OF THE UNITED STATES, which application has been duly executed by Assignor on the day(s) and date(s) of these presents.

AND WHEREAS, Honeywell International Inc., a corporation organized and existing under the laws of the State of Delaware, U.S.A., having a place of business at 101 Columbia Road, Morris Township, Morris County, New Jersey, U.S.A., hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said invention within the United States of America and its territorial possessions and all foreign countries and any United States or foreign LETTERS PATENT that may be granted therefor.

NOW, THIS INDENTURE WITNESSETH, that for good and valuable considerations, the receipt whereof is hereby acknowledged, Assignor has assigned, sold and transferred, and does hereby assign, sell and transfer to the said Assignee the entire right, title and interest in and to the said invention, within the United States of America and its territorial possessions and all foreign countries and in and to any LETTERS PATENT of the United States and foreign countries, including utility models, inventor's certificates and like government grants, and all divisions, reissues, continuations and extensions thereof that may be granted therefor, and the right to apply for LETTERS PATENT in foreign countries with full benefit of such priorities as may now or hereafter be granted to Assignor by local laws or by treaty, including any international convention, for the protection of industrial property, together with the right to extend the protection of said U.S. LETTERS PATENT to the various territorial possessions now owned or which may be hereafter acquired by the United States of America, all said rights to be held and enjoyed by the Assignee for its own use and benefit, and for the use and benefit of its successors or assigns, to the full end of the term for which said LETTERS PATENT may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made. And Assignor does hereby request and authorize the Commissioner of Patents and Trademarks, U.S.A., to issue said U.S. LETTERS PATENT, when granted, in accordance with this assignment.

Assignor further covenants and agrees with the Assignee that Assignor has a full and unencumbered title to the invention hereby assigned, which title Assignor warrants unto the Assignee, and Assignor further agrees that Assignor will, without demanding any further consideration therefor, at the request but at the expense of the Assignee, do all lawful and just acts, including the execution and acknowledgment of instruments, that may be or become necessary for obtaining, sustaining, extending, reissuing or reexamining United States and foreign LETTERS PATENT or the like for the said invention, and for maintaining and perfecting the Assignee's right to said invention and LETTERS PATENT particularly in cases of interference, conflict, opposition and litigation.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 1<sup>st</sup> day of NOVEMBER, 20 00

STEPHEN WALLACE

IN TESTIMONY WHEREOF, I have hereunto set my hand this 1<sup>st</sup> day of Nov, 20 00

DOUGLAS M. SMITH

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 00

TERESA RAMOS

# ASSIGNMENT

Assignment before issue of Letters Patent

IN TESTIMONY WHEREOF, I have hereunto set my hand this 1<sup>st</sup> day of November, 20 00

KEVIN H. RODRICK

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 00

JAMES S. DRAGE

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here]

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here]

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here]

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here]

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here]

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here]

STATE OF New Mexico )COUNTY OF Bernalillo ) ss.On this 1st day of Nov., 20 00 before me personally appearedSTEPHEN WALLACE

to me known and known to me to be the individual described in and who executed the foregoing instrument,

and he / she / they acknowledged to me that he / she / they executed the same.

OFFICIAL SEAL  
Juanita R. Peters  
NOTARY PUBLIC - STATE OF NEW MEXICOMy commission expires 6-8-026/8/02 Juanita R. Peters  
Notary Public  
My commission expires:STATE OF New Mexico )COUNTY OF Bernalillo ) ss.On this 1st day of Nov., 20 00 before me personally appearedDOUGLAS M. SMITH

to me known and known to me to be the individual described in and who executed the foregoing instrument,

and he / she / they acknowledged to me that he / she / they executed the same.

OFFICIAL SEAL  
Juanita R. Peters  
NOTARY PUBLIC - STATE OF NEW MEXICOMy commission expires 6-8-026-8-02 Juanita R. Peters  
Notary Public  
My commission expires:STATE OF California )

COUNTY OF \_\_\_\_\_ ) ss.

On this \_\_\_\_\_ day of \_\_\_\_\_, 20 00 before me personally appearedTERESA RAMOS

to me known and known to me to be the individual described in and who executed the foregoing instrument,

and he / she / they acknowledged to me that he / she / they executed the same

[SEAL]

Notary Public

My commission expires:

STATE OF New Mexico )  
COUNTY OF Bernalillo ) ss.

On this 1st day of Nov., 20 00 before me personally appeared  
KEVIN H. RODRICK

to me known and known to me to be the individual described in and who executed the foregoing instrument,  
and he / she / they acknowledged to me that he / she / they executed the same



**Juanita R. Peters**  
NOTARY PUBLIC - STATE OF NEW MEXICO  
6-8-02

4/8/02 Juanita Peters  
Notary Public  
My commission expires:

STATE OF CALIFORNIA )  
COUNTY OF \_\_\_\_\_ ) ss.

On this \_\_\_\_\_ day of \_\_\_\_\_, 20 00 before me personally appeared  
JAMES S. DRAGE

to me known and known to me to be the individual described in and who executed the foregoing instrument,  
and he / she / they acknowledged to me that he / she / they executed the same  
[SEAL]

\_\_\_\_\_  
Notary Public  
My commission expires:

STATE OF \_\_\_\_\_ )  
COUNTY OF \_\_\_\_\_ ) ss.

On this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_ before me personally appeared  
[inventor name here]

to me known and known to me to be the individual described in and who executed the foregoing instrument,  
and he / she / they acknowledged to me that he / she / they executed the same  
[SEAL]

\_\_\_\_\_  
Notary Public  
My commission expires:

## ASSIGNMENT

Assignment before issue of Letters Patent

HW File 30-4302(4780) CIP1

WHEREAS, STEPHEN WALLACE, DOUGLAS M. SMITH, TERESA RAMOS, KEVIN H. RODRICK and JAMES S. DRAGE

(hereinafter "Assignor") have invented certain new and useful improvements in

NANOPOROUS DIELECTRIC FILMS WITH GRADED DENSITY AND PROCESS FOR MAKING SUCH FILMS

(hereinafter "invention") for which Assignor is making or has made application for LETTERS PATENT OF THE UNITED STATES, which application has been duly executed by Assignor on the day(s) and date(s) of these presents

AND WHEREAS, Honeywell International Inc., a corporation organized and existing under the laws of the State of Delaware, U.S.A., having a place of business at 101 Columbia Road, Morris Township, Morris County, New Jersey, U.S.A., hereinafter called the Assignee, is desirous of acquiring the entire right, title and interest in and to said invention within the United States of America and its territorial possessions and all foreign countries and any United States or foreign LETTERS PATENT that may be granted therefor

NOW, THIS INDENTURE WITNESSETH, that for good and valuable considerations, the receipt whereof is hereby acknowledged, Assignor has assigned, sold and transferred, and does hereby assign, sell and transfer to the said Assignee the entire right, title and interest in and to the said invention, within the United States of America and its territorial possessions and all foreign countries and in and to any LETTERS PATENT of the United States and foreign countries, including utility models, inventor's certificates and like government grants, and all divisions, reissues, continuations and extensions thereof that may be granted therefor, and the right to apply for LETTERS PATENT in foreign countries with full benefit of such priorities as may now or hereafter be granted to Assignor by local laws or by treaty, including any international convention, for the protection of industrial property, together with the right to extend the protection of said U.S. LETTERS PATENT to the various territorial possessions now owned or which may be hereafter acquired by the United States of America, all said rights to be held and enjoyed by the Assignee for its own use and benefit, and for the use and benefit of its successors or assigns, to the full end of the term for which said LETTERS PATENT may be granted, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made. And Assignor does hereby request and authorize the Commissioner of Patents and Trademarks, U.S.A., to issue said U.S. LETTERS PATENT, when granted, in accordance with this assignment.

Assignor further covenants and agrees with the Assignee that Assignor has a full and unencumbered title to the invention hereby assigned, which title Assignor warrants unto the Assignee, and Assignor further agrees that Assignor will, without demanding any further consideration therefor, at the request but at the expense of the Assignee, do all lawful and just acts, including the execution and acknowledgment of instruments, that may be or become necessary for obtaining, sustaining, extending, reissuing or reexamining United States and foreign LETTERS PATENT or the like for the said invention, and for maintaining and perfecting the Assignee's right to said invention and LETTERS PATENT particularly in cases of interference, conflict, opposition and litigation

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 00

STEPHEN WALLACE \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 00

DOUGLAS M. SMITH \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of November, 20 00

TERESA RAMOS \_\_\_\_\_

STATE OF New Mexico )  
 ) ss:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20 00 before me personally appeared  
STEPHEN WALLACE  
to me known and known to me to be the individual described in and who executed the foregoing instrument,  
and he / she / they acknowledged to me that he / she/ they executed the same.  
[SEAL]

\_\_\_\_\_  
Notary Public  
My commission expires \_\_\_\_\_

STATE OF New Mexico )  
 ) ss:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20 00 before me personally appeared  
DOUGLAS M. SMITH  
to me known and known to me to be the individual described in and who executed the foregoing instrument,  
and he / she / they acknowledged to me that he / she/ they executed the same.  
[SEAL]

\_\_\_\_\_  
Notary Public  
My commission expires \_\_\_\_\_

STATE OF California )  
 ) ss:  
COUNTY OF Santa Clara )

On this 1 day of Nov, 20 00 before me personally appeared  
TERESA RAMOS  
to me known and known to me to be the individual described in and who executed the foregoing instrument,  
and ~~he~~ / she / ~~they~~ acknowledged to me that ~~he~~ / she/ ~~they~~ executed the same.  
[SEAL]

 PATRICIA A. CYESTER  
COMM # 1130152  
NOTARY PUBLIC - CALIFORNIA  
COUNTY OF SANTA CLARA  
My commission expires April 1, 2001  
\_\_\_\_\_  
Notary Public

## ASSIGNMENT

Assignment before issue of Letters Patent

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 00

KEVIN H. RODRICK \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this 1 day of Nov., 20 00JAMES S. DRAGE  \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here] \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here] \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here] \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here] \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here] \_\_\_\_\_

IN TESTIMONY WHEREOF, I have hereunto set my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_

[inventors name here] \_\_\_\_\_



STATE OF New Mexico )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20 00 before me personally appeared  
KEVIN H. RODRICK  
to me known and known to me to be the individual described in and who executed the foregoing instrument,  
and he / she / they acknowledged to me that he / she / they executed the same  
[SEAL]

\_\_\_\_\_  
Notary Public  
My commission expires: \_\_\_\_\_

STATE OF CALIFORNIA )  
 ) ss.  
COUNTY OF Santa Clara )

On this 1 day of Nov., 20 00 before me personally appeared  
JAMES S. DRAGE  
to me known and known to me to be the individual described in and who executed the foregoing instrument,  
and he / she / they acknowledged to me that he / she / they executed the same.  
[SEAL]

 PATRICIA A. CYSTER  
COMM # 1130152  
NOTARY PUBLIC - CALIFORNIA  
COUNTY OF SANTA CLARA  
My commission expires: April 1, 2001  
\_\_\_\_\_  
Notary Public

STATE OF \_\_\_\_\_ )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_ before me personally appeared  
[inventor name here]  
to me known and known to me to be the individual described in and who executed the foregoing instrument,  
and he / she / they acknowledged to me that he / she / they executed the same.  
[SEAL]

\_\_\_\_\_  
Notary Public  
My commission expires: \_\_\_\_\_

---

**Assignment**

---

STEPHEN WALLACE, DOUGLAS M.  
SMITH, TERESA RAMOS, KEVIN H.  
RODRICK and JAMES S. DRAGE

**TO**  
**HONEYWELL INTERNATIONAL INC.**

**INVENTION:**  
NANOPOROUS DIELECTRIC FILMS WITH  
GRADED DENSITY AND PROCESS FOR  
MAKING SUCH FILMS

---

**HW File:** 30-4302(4780) (CP1)

---

Honeywell International Inc.

---

PATENT

REEL: 011299 FRAME: 0621

RECORDED: 11/03/2000