



04-26-2001

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Practitioner's Docket No. U 013251-4

101688803

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Assignments  
Commissioner of Patents and Trademarks  
Washington, D.C. 20231

NOTE: "Documents and cover sheets to be recorded should be addressed to Assistant Commissioner for Patents, Box Assignments, Washington, D.C. 20231, unless they are filed together with new applications or with a petition under § 3.81(b)." 37 C.F.R. § 3.27.

## ASSIGNMENT (DOCUMENT) COVER SHEET (37 C.F.R. § 3.31)

NOTE: "A cover sheet may not refer to both patents and trademarks." 37 C.F.R. § 3.31(b).

Attached please find an assignment (document) for recordal.

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is **mandatory**;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

## MAILING

- ☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10\*

- ☒ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Addressee"  
Mailing Label No. \_\_\_\_\_ (mandatory)

## TRANSMISSION

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Clifford J. Mass

WREvans  
(type or print name of person certifying)Date: April 12, 2001

## \*WARNING:

Each paper or fee filed by "Express Mail" **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Assignment (Document) Cover Sheet—page 1 of 6) 16-6

PATENT  
REEL: 011713 FRAME: 0001

**IDENTIFICATION OF APPLICATION(S) AND/OR PATENT(S)  
FOR ASSIGNMENT (DOCUMENT) RECORDAL**  
(37 C.F.R. § 3.21 and 37 C.F.R. § 3.31(a)(4))

NOTE: See 37 C.F.R. §3.21.

NOTE: § 3.21 does not apply to documents other than assignment. Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

1. This assignment is for the following patent application or issued patent:

NOTE: Do NOT enter both application AND patent number.

National application: SN: 09/762,722 filed on ~~August 1, 2001~~  
Provisional application: filed on  
International application: PCT  
Patent No: Issued:  
(complete if applicable) which was previously assigned and recorded

Date \_\_\_\_\_ Reel \_\_\_\_\_  
Frame \_\_\_\_\_

NOTE: If an assignment of a patent application filed under § 1.53(b) is executed concurrently with, or subsequent to, the execution of the patent application, but before the patent application is filed, it must identify the patent application by its date of execution, name of each inventor, and title of the invention so that there can be no mistake as to the patent application intended. If an assignment of a provisional application under § 1.53(c) is executed before the provisional application is filed, it must identify the provisional application by name of each inventor and title of the invention so that there can be no mistake as to the provisional application intended. 37 C.F.R. § 3.21.

(also complete the following, if applicable)

[ ] and also for the applications and/or patents  
shown on the attached list of FURTHER  
APPLICATION(S) and/or PATENT(S) BEING ASSIGNED

Number of pages added \_\_\_\_\_

NOTE: "Where there is a listing of properties contained within a document, any listing may be copied and attached to the cover sheet to reduce the amount of typing necessary. A notation of this attachment can be made in lieu of entering every property identification number on the cover sheet." Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

**TOTAL NUMBER OF APPLICATIONS AND/OR PATENTS  
AND TOTAL FEE**

NOTE: All requests to record documents must be accompanied by the appropriate fee; a fee is required for each application or patent against which the document is recorded as identified in the cover sheet. The recording fee is set in § 1.21(h). 37 C.F.R. §3.41.

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**PATENT**  
**REEL: 011713 FRAME: 0002**

2. A. The total number of applications and/or patents identified in this cover sheet is 1

B. The total fee is (37 C.F.R. § 1.21(h)):

1 x \$40.00 = \$ 40.00  
Total number of applications  
and/or patents

C. Payment of fee is made by:

☒ the attached check for \$ 40.00.

☐ Please charge Account \_\_\_\_\_  
the sum of \$ \_\_\_\_\_.

A duplicate of this cover sheet is attached.

Please charge Account 12-0425 for any fee deficiency or credit to account any overpayment.

**NAME OF PARTY(IES) CONVEYING INTEREST**

(37 C.F.R. § 3.31(a)(1))

*NOTE "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the documents." Notice of June 24, 1992 (1140 O.G. 63-72, at 65); M.P.E.P. § 302.07, 6th ed.*

3. The party(ies) conveying interest is (are):

Name 1: Hidehiko **KOMATSU** Name 4: Hiroko **HAYASHI** Name 7: Hitoshi **OHTA**

Name 2: Hiroto **NAKAMURA** Name 5: Makoto **MATSUZAKI**

Name 3: Masahiro **YATAKE** Name 6: Fumitsugu **ITO**

**NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST**

(37 C.F.R. § 3.31 (a)(2))

4. The rights are being conveyed to:

Name: SEIKO EPSON CORPORATION

Address: 4-1, NISHI-SHINJUKU 2-CHOME,  
SHINJUKU-KU, TOKYO, JAPAN

**DESCRIPTION OF INTEREST CONVEYED OR  
TRANSACTION RECORDED (37 C.F.R. § 3.31 (a)(3))**

5. The accompanying document intends to accomplish:

- ☒ an assignment.
- ☐ a security agreement.
- ☐ a merger.
- ☐ a license.
- ☐ a change of name.
- ☐ a change of address.
- ☐ other:

**NAME AND ADDRESS OF PARTY TO WHOM**

(Assignment (Document) Cover Sheet—page 3 of 6) 16-6

6. Please address correspondence to:

Name: CLIFFORD J. MASS  
Address: c/o Ladas & Parry  
26 West 61<sup>st</sup> Street  
New York, New York 10023  
Telephone No.: (212) 708-1890

**DATE ASSIGNMENT (DOCUMENT) EXECUTED**  
(37 C.F.R. § 3.31(a)(7))

7. A. ☐ The attached assignment (document) was executed on \_\_\_\_\_.  
Date

**OR** *If there is more than one conveying party who executed on different dates, indicate the date of execution of the assignment document for each conveying party.*

B. ☒ The attached assignment was executed by Hidehiko KOMATSU  
Name  
on April 6, 2001 .  
Date

☒ The attached assignment was executed by Hiroto NAKAMURA  
Name  
on April 9, 2001 .  
Date

☒ The attached assignment was executed by Masahiro YATAKE  
Name  
on April 6, 2001 .  
Date

☒ The attached assignment was executed by Hiroko HAYASHI  
Name  
on April 9, 2001 .  
Date

☒ The attached assignment was executed by Makoto MATSUZAKI  
Name  
on April 9, 2001 .  
Date

☒ The attached assignment was executed by Fumitsugu ITO  
Name  
on April 9, 2001 .  
Date

☒ The attached assignment was executed by Hitoshi OHTA  
Name  
on April 6, 2001 .  
Date

## LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED

*NOTE: "The Office will accept and record non-English language documents only if accompanied by an English translation signed by the individual making the translation," 37 C.F.R. § 3.26.*

8. The attached document:

- ☒ is in the English language.  
☐ is not in the English language and an English translation signed by the individual making the translation is attached.

## ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

*NOTE: See 37 C.F.R. § 3.24.*

9. Submitted herewith is:

- ☒ the original document.  
☐ a true copy of the original document, which I certify to be a true copy.

*NOTE: "If the original [assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 C.F.R. § 3.24] by providing a true copy of the original document using only one side of each page on the correct size paper." Notice of June 24, 1992, 1140 O.G. 63-76, at 67.*

*NOTE: "Certification shall be made by the person submitting a copy of an original document that the document submitted is a true copy of the original. The certification is not required to be in an oath or declaration form." M.P.E.P., 6th ed., § 302.01.*

## ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF ADDRESS

*(check item, if applicable)*

10. ☐ Because the purpose of the attached documents is to record a change of address of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

*NOTE: "Attach Change of Address 16-6."*

## ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF NAME

*(check item, if applicable)*

11. ☐ Because the purpose of the attached documents is to record a change of name of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

*NOTE: "Attach Change of Name."*

## CHANGE OF PATENT MAINTENANCE FEE ADDRESS

(Assignment (Document) Cover Sheet—page 5 of 6) 16-6

(check item, if applicable)

12. ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent to the Office separately.

**STATEMENT (37 C.F.R. § 3.31(a)(9)) AND  
SIGNATURE (37 C.F.R. § 3.31(a)(10))**

13. 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.

*NOTE: "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the document." Notice of June 24, 1992, 1140 O.G. 63-76, at 65; M.P.E.P. § 302.07 6th ed.*

Date: April 12, 2001

\_\_\_\_\_  
Name of party submitting document

\_\_\_\_\_  
Signature of party submitting document

(complete the following, if the party submitting the document  
is applicant's attorney)

*CJ Mass by [Signature] Reg No. 25858*  
\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

Reg. No.: 30,086

Tel. No.: (212) 708-1890

Customer No.:

\_\_\_\_\_  
Clifford J. Mass

(type or print name of practitioner)

c/o Ladas & Parry  
26 West 61<sup>st</sup> Street

\_\_\_\_\_  
P.O. Address

New York, N.Y. 10023

**TOTAL NUMBER OF PAGES BEING SUBMITTED**

14. The total number of pages being submitted, including cover sheet attachment(s), and documents are:

8  
Total number of pages submitted

(Assignment (Document) Cover Sheet—page 6 of 6) 16-6

# 譲渡証 (Translation/日本語訳)

下記に署名した私/私達、

小松英彦、中村弘人、矢竹正弘、林広子、松崎眞、伊藤文嗣  
および太田等 は、

ある発明を創出し、これについて合衆国特許出願は

- ☐ ここに私/私達により署名され、  
☐ \_\_\_\_\_ に私/私達により (それぞれ) 署名され、  
☒ 2001 年 2 月 8 日に出願され、出願番号09/762,722が交付され、  
☐ PCT 国際出願 \_\_\_\_\_ として \_\_\_\_\_ に出願され、

その発明は

インクジェット記録用インクおよびその製造方法、インクジェット記録用インクセット、並びに、インクカートリッジ

という名称である。そして、ここにその受領を認める対価で：私/私達は、当該発明/出願について、合衆国とその属領及び全ての外国に於ける全面的かつ独占的な権利；合衆国とその属領及び全ての外国に於いて発行される特許証に関わる全ての権利、所有権、利益；一部継続出願、継続出願、分割出願、差替え出願、再発行出願、特許期間延長等、合衆国とその属領及び全ての外国に於いて既に出願されたか若しくは今後出願される特許に関わる全ての権利；そして、国際条約、同盟、契約、法令、協定 (将来制定されるものを含む) に基づく全ての優先権を伴う一切の権利；を、日本国東京都新宿区西新宿 2 丁目 4 番 1 号に住所を有するセイコーエプソン株式会社、その後継者、譲受人及び法定代理人に対して、売却、譲渡、移転するものとする。

さらに、私/私達は、セイコーエプソン株式会社 (以下譲受人と言う) が単数ないしは複数の当該発明 (以下当該発明という) に関わる特許権を、自己の名により、合衆国とその属領及び全ての外国に於いて出願し、特許を受けること；またこの譲渡証の意図と目的を誠実に実行することを求められた場合、下記に署名した私/私達が、当該譲受人、その後継者、その被譲渡者、及び法定代理人の費用負担にて、一部継続出願、継続出願、分割出願、差替え出願、再発行出願、特許期間延長等を行い、合法的宣誓書、譲渡証、委任状等の書類を作成し、あらゆる法的または準法的訴訟手続に於いて証言を行うこと；当該発明とその経緯に関連して、下記に署名した私/私達が知り得た全ての事実を、当該譲受人、後継者、被譲渡者、及び法定代理人に連絡すること；そして当該譲受人、後継者、被譲渡者、及び法定代理人が、当該発明の特許権の適切な保護、維持、権利行使するために望ましいと考慮すること、また、当該発明に関わる特許出願に際し、当該譲受人、後継者、被譲渡者、及び法定代理人に対して法的権限を付与することが望ましいと考慮することについて、可能な限り行うことを承諾する。

# Assignment

For good and valuable consideration, the receipt of which is hereby acknowledged, I/WE, the undersigned,

Hidehiko KOMATSU, Hiroto NAKAMURA, Masahiro YATAKE,  
Hiroko HAYASHI, Makoto MATSUZAKI, Fumitsugu ITO, and  
Hitoshi OHTA,

who have created a certain invention for which an application for United States Letters Patent

- ☐ executed by ME/US on even date herewith,  
☐ executed by ME/US on \_\_\_\_\_, (respectively).  
☒ filed on August 1, 2001 and assigned Serial No. 09/762,722.  
☐ filed as International Application No. \_\_\_\_\_ filed on \_\_\_\_\_

and entitled: INK FOR INK JET RECORDING, PROCESS FOR THE PREPARATION THEREOF, INK SET FOR INK JET RECORDING, AND INK CARTRIDGE

Do hereby sell, assign and transfer to Seiko Epson Corporation, a corporation of Japan, having a place of business at 4-1, Nishi-shinjuku 2-chome, Shinjuku-ku, Tokyo, Japan, its successors, assigns, and legal representatives, the full and exclusive right to said invention and said application and to any and all inventions described in said application for the United States, its territorial possessions and all foreign countries, and the entire right, title and interest in and to any and all Letters Patent which may be granted therefor in the United States, its territorial possessions and all foreign countries; and in and to any and all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, and all other applications for Letters Patent relating thereto which have been or shall be filed in the United States, its territorial possessions and/or any foreign countries, and all rights, together with all priority rights, under any of the international conventions, unions, agreements, acts, and treaties, including all future conventions, unions, agreements, acts, and treaties;

Agree that Seiko Epson Corporation, hereinafter referred to as Assignee, may apply for and receive Letters Patent for said invention and said inventions, hereinafter referred to as said invention, in its own name, in the United States, its territorial possessions, and all foreign countries; and that, when requested to carry out in good faith the intent and purpose of this assignment, at the expense of said Assignee, its successors, assigns and legal representatives, the undersigned will execute all continuations-in-part, continuations, divisions, substitutes, reissues, extensions thereof, execute all rightful oaths, assignments, powers of attorney and other papers, testify in any legal or quasi legal proceedings; communicate to said Assignee, its successors, assigns or legal representatives all facts known to the undersigned relating to said invention and the history thereof; and generally do everything possible which said Assignee, its successors, assigns, or legal representatives shall consider desirable for aiding in securing, maintaining and enforcing proper patent protection for said invention and for vesting title to said invention and all applications for patents on said invention in said Assignee, its successors, assigns, or legal representatives; and

そして、私／私達は、この書面により譲渡された権利や財産に影響する、如何なる譲渡、授權、抵当権、ライセンス等その他の協定も他の第三者との間で行っていないこと；下記に署名した私／私達によって、この書面に記載されている権利が所有されていることを、当該譲受人、後継者、被譲渡者、及び法定代理人に対して誓約するものである。

さらに、下記に署名した私／私達はこの譲渡書は英語の部分の表現によってのみ解釈されることに同意する。

上記を証明するため、私／私達は下記日付で署名する。

Covenant with said Assignee, its successors, assigns, or legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

I/WE, the undersigned do further agree that this Assignment is to be construed solely according to the terms of the English language portions thereof.

IN TESTIMONY WHEREOF I/WE have hereunto set MY/OUR signature seal on the date indicated below.

唯一または第一発明者名 小松 英彦	Full name of sole or first inventor Hidehiko KOMATSU
発明者の署名 小松 英彦	Inventor's signature Hidehiko Komatsu
日付 2001年4月6日	Date April 6, 2001
第二共同発明者 (いる場合) 中村 弘人	Full name of second joint inventor, if any Hiroto NAKAMURA
第二共同発明者の署名 中村 弘人	Second Inventor's signature Hiroto Nakamura
日付 2001年4月9日	Date APR. 9, 2001
第三共同発明者 (いる場合) 矢竹 正弘	Full name of third joint inventor, if any Masahiro YATAKE
第三共同発明者の署名 矢竹 正弘	Third Inventor's signature Masahiro Yatake
日付 2001年4月6日	Date April 6, 2001
第四共同発明者 (いる場合) 林 広子	Full name of fourth joint inventor, if any Hiroko HAYASHI
第四共同発明者の署名 林 広子	Fourth Inventor's signature Hiroko Hayashi
日付 2001年4月9日	Date April 9, 2001
第五共同発明者 (いる場合) 松崎 眞	Full name of fifth joint inventor, if any Makoto MATSUZAKI
第五共同発明者の署名 松崎 眞	Fifth Inventor's signature Makoto Matsuzaki
日付 2001年4月9日	Date April 9, 2001
第六共同発明者 (いる場合) 伊藤 文嗣	Full name of sixth joint inventor, if any Fumitsugu ITO
第六共同発明者の署名 伊藤 文嗣	Sixth Inventor's signature Fumitsugu Ito
日付 2001年4月9日	Date April 9, 2001
第七共同発明者 (いる場合) 太田 等	Full name of seventh joint inventor, if any Hitoshi OHTA
第七共同発明者の署名 太田 等	Seventh Inventor's signature Hitoshi Ohta
日付 2001年4月6日	Date April 6, 2001
第八共同発明者 (いる場合)	Full name of eighth joint inventor, if any
第八共同発明者の署名	Eighth Inventor's signature
日付	Date