

05-10-2001

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

FORM PTO-1596

1-34

DOCKET NO.: 4006-097

101712135

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

1. Name of conveying party(ies):

Yin-Yi LIU and Pei-Ren JENG

4-4-01

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

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

Name: **MACRONIX INTERNATIONAL CO., LTD.**

Internal Address:

Street Address: **No. 16, Li Hsin Road, Science Based Industrial Park**City: **Hsinchu**State or Area: **Taiwan**

Zip/Postal Code:

Country: **Republic of China**Execution Date: **November 22, 2000**

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

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

If the document is being filed together with a new application, the execution date of the application is: **November 29, 2000**

A. Patent Application No(s).

B. Patent No(s).

Additional numbers attached?

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

Name:

LOWE HAUPTMAN GILMAN & BERNER

Internal Address:

Street Address: **1700 Diagonal Road, Suite 310**City: **Alexandria**State: **VA**ZIP: **22314**

6. Total number of applications and patents involved: one

7. Total fee (37 CFR 3.41)

\$40.00

☒ Credit Card payment form enclosed☐ Authorized to be charged to deposit account

8. Deposit account number: 07-1337

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.

Randy A. Noranbrock

Reg. No. 42,940

Signature

April 3, 2001

Date

Total number of pages comprising cover sheet: 1

CMB No. 0851-0011 (exp. 4/94)

05/09/2001 JJALLAH2 00000041 03725065

01 FC:581

40.00 DP

PATENT
REEL: 011768 FRAME: 0254

ASSIGNMENT

This assignment agreement is applicable to an invention entitled (Invention Title) _____
METHOD FOR FORMING SHALLOW TRENCH ISOLATION

The PATENT RIGHTS referred to in this agreement are:

(check one) ☒ a patent application for this invention, executed by the ASSIGNOR(S)
concurrently with this assignment.

☐ U.S. patent application Serial No. _____, filed _____

☐ a U.S. patent application based on PCT International Application
No. _____ filed on (date) _____ (U.S. patent application
Serial No. _____, if known).

☐ U.S. patent No. _____, issued _____

The PATENT RIGHTS also include all divisions reissues, continuations and extensions of
the patents and patent applications identified above.

The PATENT RIGHTS assigned under this agreement are:

(check one) ☒ U.S. patent rights only.

☐ Worldwide patent rights. In this case, the assignee shall have the right to
claim the benefit of the filing date of any U.S. or foreign patent application
for this invention.

The ASSIGNOR(S) referred to in this agreement is (or are) the inventor(s) whose signatures
appear on page 2 of this Assignment and any Supplemental Sheet(s).

The ASSIGNEE referred to in this agreement is:

(Name of Assignee) MACRONIX INTERNATIONAL CO., LTD.

(Address) No.16, LI HSIN ROAD, SCIENCE-BASED INDUSTRIAL PARK, HSINCHU,
TAIWAN, R.O.C.

The ASSIGNEE is:

(check one) ☐ An individual.

☐ A Partnership.

☒ A Corporation of TAIWAN, R.O.C. (specify state or country)

☐ (other) _____

The ASSIGNOR(S), in consideration of \$10.00 paid by the ASSIGNEE, and other good and
valuable consideration, receipt of which is acknowledged, hereby assign(s) the following
rights to the ASSIGNEE, its successors and assigns:

the full and exclusive right to the invention;

the entire right, title and interest in and to the PATENT RIGHTS;

the right to sue and recover for any past infringement; and

the right to claim priority under 35 USC 119, 35 USC 120, or any other applicable
provisions, based on any earlier patent applications for this invention.

THIS IS PAGE 2 OF AN ASSIGNMENT FROM THE INVENTOR(S) TO
ASSIGNEE: MACRONIX INTERNATIONAL CO., LTD.
INVENTION TITLE: METHOD FOR FORMING SHALLOW TRENCH ISOLATION

As to all U.S. patent applications assigned under this agreement, the ASSIGNOR(S) hereby authorize(s) and request(s) the Commissioner of Patents and Trademark to issue all Letters Patent to the ASSIGNEE as the assignee of the entire right, title and interest, for the sole use and enjoyment of said ASSIGNEE, its successors and assigns.

Further, the ASSIGNOR(S) agree(s) to communicate to said ASSIGNEE, or its representatives, any fact known to the ASSIGNOR(S) with respect to said invention, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, substitute, renewal, reexamination and reissue applications, execute all necessary assignment papers to cause and all Letter Patent to be issued to said ASSIGNEE, make all rightful oaths and generally do everything necessary or desirable to aid said ASSIGNEE, its successors and assigns, to obtain and enforce proper protection for said invention.

The ASSIGNOR(S) authorize(s) the attorneys and agents who have the power of attorney in this application to check any appropriate boxes and to insert the Serial Number and filing date in this document after it has been executed.

<u>Wan-Yi LIU</u>	<u>Wan-Yi Liu</u>	<u>Nov. 22, 2000</u>
Name of sole or first inventor	Signature	Date

<u>Pei-Ren JENG</u>	<u>Pei-Ren Jeng</u>	<u>Nov. 22, 2000</u>
Name of second inventor, if any	Signature	Date

_____ Name of third inventor, if any	_____ Signature	_____ Date
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_____ Name of fourth inventor, if any	_____ Signature	_____ Date
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_____ Name of fifth inventor, if any	_____ Signature	_____ Date
---	--------------------	---------------

_____ Name of sixth inventor, if any	_____ Signature	_____ Date
---	--------------------	---------------

_____ Name of seventh inventor, if any	_____ Signature	_____ Date
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_____ Name of eighth inventor, if any	_____ Signature	_____ Date
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**SUBMISSION OF CORRECTED ASSIGNMENT TRANSMITTAL FORM
AND REQUEST FOR CORRECTION OF NOTICE OF RECORDATION
OF ASSIGNMENT DOCUMENT**

Honorable Commissioner of
Patents and Trademarks
Washington, D. C. 20231

Sir:

Submitted herewith is a corrected Assignment transmittal form properly setting forth the receiving party name as: MACRONIX INTERNATIONAL CO., LTD.

The information as it appears on the Notice of Recordation of Assignment Document in connection with the above-identified application is incorrect.

Please correct this information which appears at REEL: 011322, FRAME: 0562, and forward the Corrected Notice of Recordation of Assignment Document to the undersigned. Copies of the Notice of Recordation of Assignment Document, the executed Assignment, and the Recordation Form Cover Sheet are included herewith.

A credit card authorization form in the amount of \$40.00 is attached.

Respectfully submitted,

LOWE HAUPTMAN GILMAN & BERNER, LLP

Randy A. Noranbrock
Registration No. 42,940

1700 Diagonal Road, Suite 310
Alexandria, Virginia 22314
(703) 684-1111 BJH:RAN:nm
Date: April 3, 2001
Facsimile: 703-518-5499



4006-097
**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FEBRUARY 20, 2001

PTAS

LOWE HAUPTMAN GILMAN & BERNER
BENJAMIN J. HAUPTMAN
1700 DIAGONAL ROAD, SUITE 310
ALEXANDRIA, VA 22314



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**UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT**

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/29/2000

REEL/FRAME: 011322/0562
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
LIU, WAN-YI

DOC DATE: 11/22/2000

ASSIGNOR:
JENG, PEI-REN

DOC DATE: 11/22/2000

ASSIGNEE:
MICRONIX INTERNATIONAL CO. LTD.
NO.16, LI HSIN ROAD, SCIENCE BASED
INDUSTRIAL PARK
HSINCHU, TAIWAN

SERIAL NUMBER: 09725065
PATENT NUMBER:

FILING DATE: 11/29/2000
ISSUE DATE:

RECEIVED

FEB 22 2001

SONYA JOHNSON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

Lowe, Hauptman, Gilman & Berner

RECORDED: 04/04/2001

**PATENT
REEL: 011768 FRAME: 0258**