

06-15-2001

FORM PTO-1619A  
Expires 06/30/99  
OMB 0651-0027



101749765

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**

# RECORDATION FORM COVER SHEET PATENTS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

## Submission Type

- ☒ New **06/05/01**
- ☐ 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 attached

Name (line 1)

Execution Date  
Month Day Year  
5 10 01

Name (line 2)

## Second Party

Name (line 1)

Execution Date  
Month Day Year  
5 10 01

Name (line 2)

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Zip Code

## Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

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Address (line 4)

## FOR OFFICE USE ONLY

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

06/14/2001 TDI A21 00000136 09873193

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40.00 DP

1033 U.S. PTO  
**09/873193**  
06/05/01

**PATENT**  
**REEL: 011885 FRAME: 0673**

**Correspondent Name and Address**

Area Code and Telephone Number

(703) 243-6333

Name Millen, White, Zelano & Branigan, P.C.

Address (line 1) 2200 Clarendon Boulevard

Address (line 2) Suite 1400

Address (line 3) Arlington, VA 22201

Address (line 4)

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments

# 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)

081873193

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.

# 1

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41):

\$ 40.00

Method of Payment:

Enclosed ☒

Deposit Account ☐

Deposit Account

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

Deposit Account Number:

# 13-3402

Authorization to charge additional fees:

Yes ☒

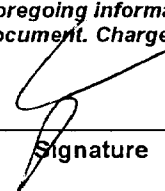
No ☐

**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.*

Anthony J. Zelano (Reg. No. 27,969)

Name of Person Signing

  
Signature

June 5, 2001

Date

RECORDATION FORM COVER SHEET  
CONTINUATION  
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Conveying Party(ies)

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Name (line 1) Koji

Execution Date  
Month Day Year  
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Name (line 2) HASEGAWA

Execution Date  
Month Day Year  
5 10 01

Name (line 1) Tsunehiro

Name (line 2) NISHI

Execution Date  
Month Day Year  
5 10 01

Name (line 1) Mutsuo

Name (line 2) NAKASHIMA

Receiving Party(ies)

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Enter additional Receiving Party(ies)

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

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Name (line 1)

Name (line 2)

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Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) Seiichiro

Execution Date  
Month Day Year  
5 10 01

Name (line 2) TACHIBANA

Name (line 1) Jun

Execution Date  
Month Day Year  
5 10 01

Name (line 2) HATAKEYAMA

Name (line 1)

Execution Date  
Month Day Year

Name (line 2)

Receiving Party(ies)

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Name (line 1)

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Application Number(s) or Patent Number(s)

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Patent Application Number(s)


Patent Number(s)


11033 U.S. PTO

09/873193

06/05/01

# ASSIGNMENT

WHEREAS the below named inventor (if only one inventor is named below) or inventors (if plural inventors are named below) hereinafter referred to as the ASSIGNOR invented a certain improvement relating to

## Novel Ester Compounds Having Alicyclic and Oxirane Structures and Method for Preparing the Same

- ☐ for which an application for Letters Patent to be filed in the United States Patent and Trademark Office was executed on even date.
- ☐ for which U.S. Application Serial No. \_\_\_\_\_ for Letters Patent was filed in the U.S. Patent and Trademark Office on \_\_\_\_\_.
- ☐ for which an International Application was filed on \_\_\_\_\_ PCT/ \_\_\_\_\_ / \_\_\_\_\_ designating the United States.

AND WHEREAS **Shin-Etsu Chemical Co., Ltd. of  
6-1, Otemachi, 2-chome, Chiyoda-ku, Tokyo, Japan**

hereinafter referred to as the ASSIGNEE, is desirous of acquiring the entire right, title, and interest in and to said invention and application, including any and all divisions and continuations thereof, and any and all Letters Patent which may be granted thereon, including any and all renewals, reissues, reexaminations and extensions thereof.

NOW, WITNESSETH that for good and valuable consideration, the receipt whereof is hereby acknowledged, ASSIGNOR hereby assigns, sells, and transfers to ASSIGNEE, its assigns and legal representatives, the entire and exclusive right, title, and interest in and to said invention and application, including any and all divisions and continuations thereof, and any and all Letters Patent which may be granted therefor, including any and all renewals, reissues, reexaminations and extensions thereof, and in and to any and all priority and/or convention rights or benefits accruing or to accrue with respect to the filing or securing of patents in the United States and/or any countries foreign thereto, SAID ASSIGNEE, its assigns and legal representatives to have, hold, exercise, and enjoy said invention and application, including any and all divisions and continuations thereof, and any and all Letters Patent which may be granted therefor, including any and all renewals, reissues, reexaminations and extensions thereof, with all the rights, powers, privileges and advantages in anywise arising from or appertaining thereto, for and during the term or terms of any and all such Letters Patent when granted, including any and all renewals, reissues, reexaminations and extensions thereof, for the use and benefit of ASSIGNEE and its assigns and legal representatives, in as ample and beneficial a manner to all intents and purposes as the ASSIGNOR might or could have held and enjoyed the same, if the assignment had not been made.

AND ASSIGNOR hereby agrees to execute all papers that may be necessary to file applications in the United States and foreign countries for said invention and to assign the same to said ASSIGNEE, its assigns and legal representatives and to execute any other papers that may be needed in connection with filing said applications and securing Letters Patents thereon.

AND ASSIGNOR authorizes and requests the Commissioner of Patents and Trademarks to issue a Letters Patent on said application, and on any and all divisions and continuations thereof, to ASSIGNEE, its assigns and legal representatives, in accordance herewith.

The undersigned hereby grant(s) the law firm of Millen, White, Zelano & Branigan, P.C. the power to insert on this assignment any further identification which may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN TESTIMONY WHEREOF this assignment is executed by ASSIGNOR.

201	FULL NAME OF SOLE OR FIRST NAMED INVENTOR <b>Takeru WATANABE</b>	INVENTOR'S SIGNATURE <i>Takeru Watanabe</i>	DATE <b>May 10, 2001</b>
202	FULL NAME OF SECOND JOINT INVENTOR, IF ANY <b>Takeshi KINSHO</b>	INVENTOR'S SIGNATURE <i>Takeshi Kinsho</i>	DATE <b>May 10, 2001</b>
203	FULL NAME OF THIRD JOINT INVENTOR, IF ANY <b>Koji HASEGAWA</b>	INVENTOR'S SIGNATURE <i>Koji Hasegawa</i>	DATE <b>May 10, 2001</b>
204	FULL NAME OF FOURTH JOINT INVENTOR, IF ANY <b>Tsunehiro NISHI</b>	INVENTOR'S SIGNATURE <i>Tsunehiro Nishi</i>	DATE <b>May 10, 2001</b>
205	FULL NAME OF FIFTH JOINT INVENTOR, IF ANY <b>Mutsuo NAKASHIMA</b>	INVENTOR'S SIGNATURE <i>Mutsuo Nakashima</i>	DATE <b>May 10, 2001</b>
206	FULL NAME OF SIXTH JOINT INVENTOR, IF ANY <b>Seiichiro TACHIBANA</b>	INVENTOR'S SIGNATURE <i>Seiichiro Tachibana</i>	DATE <b>May 10, 2001</b>
207	FULL NAME OF SEVENTH JOINT INVENTOR, IF ANY <b>Jun HATAKEYAMA</b>	INVENTOR'S SIGNATURE <i>Jun Hatakeyama</i>	DATE <b>May 10, 2001</b>
208	FULL NAME OF EIGHTH JOINT INVENTOR, IF ANY	INVENTOR'S SIGNATURE	DATE
209	FULL NAME OF NINTH JOINT INVENTOR, IF ANY	INVENTOR'S SIGNATURE	DATE
210	FULL NAME OF TENTH JOINT INVENTOR, IF ANY	INVENTOR'S SIGNATURE	DATE
211	FULL NAME OF ELEVENTH JOINT INVENTOR, IF ANY	INVENTOR'S SIGNATURE	DATE
212	FULL NAME OF TWELFTH JOINT INVENTOR, IF ANY	INVENTOR'S SIGNATURE	DATE

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RECORDED: 06/05/2001

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REEL: 011885 FRAME: 0677