

Practitioner's Docket No. NYU-7  
Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

08-01-2001



101794793

J1040 U.S. PTO  
09/909927  
07/20/01

COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANYING  
NEW PATENT APPLICATION (37 C.F.R. § 3.31)

7-20-Q)

**IDENTIFICATION OF APPLICATION**

(37 C.F.R. § 3.21 and 37 C.F.R. § 3.31(a)(4))

1. The ☒ patent application ☐ provisional patent application filed herewith and, to which the attached assignment (document) refers, is identified as follows:

a. Type of application

- ☒ Application of patent (37 C.F.R. § 1.53(b))  
☐ Continued prosecution (nonprovisional) application (37 C.F.R. § 1.53(d))  
☐ Provisional application (37 C.F.R. § 1.53(c))  
☐ International application (37 C.F.R. § 1.431)

b. Date of execution: July 20, 2001

NOTE: Leave this blank if assignment is for a provisional application.

c. Name of each inventor:

- 1: Kenneth Perlin  
2: Salvatore Paxia  
3: Joel S. Kollin

d. Title of invention: AUTOSTEREOSCOPIC DISPLAY

**CERTIFICATION UNDER 37 C.F.R. § 1.10\***

(Express Mail label number is mandatory.)

(Express Mail certification is optional.)

I hereby certify that this "Cover Sheet For Assignment (Document) Accompanying New Patent Application," along with any document referred to, is being deposited with the United States Postal Service on this date July 20, 2001, in an envelope as "Express Mail Post Office to Addressee," Mailing Label Number EL707031134US, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231.

07/31/2001 TBIAZ1  
01 FC1581

00000144 09909927

40.00 DP

Tracey L. Milka

(type or print name of person mailing paper)

*Tracey L. Milka*

Signature of person mailing paper

**WARNING:** Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. § 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

**\*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.

(Cover Sheet For Assignment Accompanying New Patent Application [4-2.3]—page 1 of 4)

PATENT  
REEL: 012016 FRAME: 0349

NOTE: 37 C.F.R. § 3.21 states: "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."

**NAME OF PARTY(IES) CONVEYING INTEREST (37 C.F.R. § 3.31(a)(1))**

2. The party(ies) conveying this interest is (are):

Name 1: Salvatore Paxia

Name 2: Joel S. Kollin

Name 3: \_\_\_\_\_

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

(37 C.F.R. § 3.31(a)(2))

3. The rights are being conveyed to:

Name: New York University

Address: 550 First Avenue  
New York, NY 10016

Telephone No.: (212) 998-3390

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

4. The accompanying document intends to accomplish:

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

**NAME AND ADDRESS OF PARTY TO WHOM CORRESPONDENCE  
SHOULD BE MAILED (37 C.F.R. § 3.31(a)(5))**

**5. Please address correspondence to:**

Name: Ansel M. Schwartz  
Address: One Sterling Plaza  
201 N. Craig Street, Suite 304  
Pittsburgh, PA 15213

Telephone No.: (412) 621-9222

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

**6. A.** ☒ The attached assignment (document) was executed on 7/18/01. (Date)

NOTE: 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 \_\_\_\_\_  
on \_\_\_\_\_. (Date)

☐ The attached assignment was executed by \_\_\_\_\_  
on \_\_\_\_\_. (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.

**7. The attached document:**

☒ is in the English language.

☐ is not in the English language. An English translation signed by the individual making the translation and statement as to its accuracy is attached.

**ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED**

NOTE: "Either the original document or a true copy of the original document may be submitted for recording. Only one side of each page shall be used. The paper used should be flexible, strong, white, non-shiny, durable, and preferably no larger than 21.6 x 33.1 cm. (8½ x 14 inches) with a 2.5 cm. (one-inch) margin on all sides." 37 C.F.R. § 3.24.

**8. Submitted herewith is:**

☒ the original document.

☐ a true copy of the original document.

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.

(Cover Sheet For Assignment Accompanying New Patent Application [4-2.3]—page 3 of 4)

**NUMBER OF APPLICATIONS IDENTIFIED IN THIS COVER SHEET  
AND THE FEE**

NOTE: "All requests to record documents must be accompanied by the appropriate fee. Except as provided in paragraph (b) of this section, 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.

9. A. This cover sheet identifies only one application:

B. The fee for recordal (37 C.F.R. § 1.21(h)) is \$40.00.

☒ Attached is a ☒ check ☐ money order in the amount of \$ 40.00

☐ Authorization is hereby made to charge the amount of \$ \_\_\_\_\_

☒ to Deposit Account No. 19-0737

☐ to Credit card as shown on the attached credit card information authorization form PTO-2038.

**WARNING:** Credit card information should **not** be included on this form as it may become public.

☒ Charge any additional fees required by this paper or credit any overpayment in the manner authorized above.

A duplicate of this paper is attached.

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

10. 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.

Date: 7/20/01

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

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

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

Reg. No. 30,587

Ansel M. Schwartz  
Signature of Practitioner

Tel. No. (412) 621-9222

Ansel M. Schwartz  
(type or print name of practitioner)  
One Sterling Plaza

Customer No.

P.O. Address  
201 N. Craig Street, Suite 304  
Pittsburgh, PA 15213

**TOTAL NUMBER OF PAGES BEING SUBMITTED**

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

7  
Total number of pages submitted

(Cover Sheet For Assignment Accompanying New Patent Application [4-2.3]—page 4 of 4)

For: ☒ U.S. and/or ☒ Foreign RightsFor: ☒ U.S. Application or☐ U.S. Provisional ApplicationFor: ☐ U.S. PatentFor: ☒ PCT Application

By: Multiple Inventors

**ASSIGNMENT OF INVENTION (MULTIPLE INVENTORS)**

In consideration of the payment by ASSIGNEE to ASSIGNOR of the sum of One Dollar (\$1.00), the receipt of which is hereby acknowledged, and for other good and valuable consideration,

**ASSIGNORS (Inventors):**Kenneth Perlin*(type or print name of inventors)*7-13 Washington Square North, Apt. 31B, New York,Address USANationality New York 10003Salvatore Paxia300 West 55th Street, Apt. 16J, New York, New YorkUSA10019Joel S. Kollin82 Powers Street, Apt. 3R, Brooklyn, NY 11211USA

(Assignment of Invention—Multiple Inventors [16-3.2]—page 1 of 3)

hereby sells, assigns and transfers to  
ASSIGNEE:

New York University  
(type or print name of ASSIGNEE)

550 First Avenue, New York, NY 10016  
Address

United States  
Nationality

and the successors, assigns and legal representatives of the ASSIGNEE

(complete one of the following)

- ☒ the entire right, title and interest  
☐ an undivided \_\_\_\_\_ percent ( \_\_\_\_\_ %) interest

for the United States and its territorial possessions

(check the following box, if foreign rights are also to be assigned)

☒ and in all foreign countries, including all rights to claim priority  
in and to any and all improvements which are disclosed in the invention entitled:

AUTOSTEREOSCOPIC DISPLAY

(check and complete (a), (b), (c), (d), (e), (f), or (g))

and which is found in (37 C.F.R. § 3.21)

- (a) ☒ U.S. patent application executed on even date herewith  
(b) ☐ U.S. patent application executed on \_\_\_\_\_  
(c) ☐ U.S. provisional application naming the above inventor(s) for the above-entitled invention  
☐ Express mail label no.: \_\_\_\_\_  
Mailed: \_\_\_\_\_  
☐ To comply with 37 C.F.R. § 3.21 for recordal of this assignment, I, an ASSIGNOR signing below, hereby authorize and request my attorney to insert below the filing date and application number when they become known.  
(d) ☐ U.S. application no. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_  
(e) ☐ International application no. PCT \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_  
filed on \_\_\_\_\_  
(f) ☐ U.S. patent no. \_\_\_\_\_ issued \_\_\_\_\_  
☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

(check (g), if foreign application(s) is also being assigned)

- (g) ☐ and any legal equivalent thereof in a foreign country, including the right to claim priority

(Assignment of Invention—Multiple Inventors [16-3.2]—page 2 of 3)

and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, renewal, or substitute thereof, and as to letters patent any reissue or re-examination thereof.

ASSIGNOR hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

ASSIGNOR further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation or proceeding related thereto and will promptly execute and deliver to ASSIGNEE or its legal representatives any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue and enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof.

IN WITNESS WHEREOF, We have hereunto set hand and seal this

7/18/01

Date of signing

**WARNING:** The date of signing must be the same as the date of execution of the application, if item (a) was checked above.

Kenneth Perlin

(type name of Inventor)

Salvatore Paxia

Joel S. Kollin

Signature of INVENTOR

*Sal Paxia*  
*Joel S. Kollin*

☐ Notarization or Legalization Page Added.

NOTE: No witnessing, notarization or legalization is necessary. If the assignment is notarized or legalized then it will only be prima facie evidence of execution. 35 U.S.C. § 261. Use next page if notarization is desired.

(Assignment of Invention—Multiple Inventors [16-3.2]—page 3 of 3)