

09-05-2001

FORM PTO-1595



U.S. DEPARTMENT OF

9.25.01

101833999

E

PATENT AND TRADEMARK OFFICE

TO THE HONORABLE COMMISSIONER OF PATENTS AND TRADEMARKS

OF THE UNITED STATES OF AMERICA  
BY THE OFFICE

1. NAME OF CONVEYING PARTY(IES):

Kevin Stewart Dick  
Eric Kenneth Rescorla

ADDITIONAL NAME(S) OF CONVEYING PARTY(IES) ATTACHED?  YES  NO

2. NAME AND ADDRESS OF RECEIVING PARTY(IES):

NAME:

Claymore Systems, Inc.

INTERNAL ADDRESS:

STREET ADDRESS:

3246 Lovis Road  
Palo Alto, CA 94303

ADDITIONAL NAME(S) AND ADDRESS(ES) ATTACHED?  YES  NO

3. NATURE OF CONVEYANCE:

ASSIGNMENT

MERGER

SECURITY AGREEMENT

CHANGE OF NAME

OTHER \_\_\_\_\_

EXECUTION DATE: May 18, 2001

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:

A. PATENT APPLICATION No(s):

09/861,264

B. PATENT No(s):

ADDITIONAL NUMBERS ATTACHED?  YES  NO

5. NAME AND ADDRESS OF PARTY TO WHOM CORRESPONDENCE CONCERNING DOCUMENT SHOULD BE MAILED:

NAME:

C. Douglas McDonald

INTERNAL ADDRESS:

Carlton Fields, P.A.

STREET ADDRESS:

P. O. Box 3239  
Tampa, FL 33601-3239

6. TOTAL NUMBER OF APPLICATIONS AND PATENTS INVOLVED: 1

7. TOTAL FEE (37 CFR 3.41) ..... \$ 40.00

ENCLOSED

ANY DEFICIENCY IN ENCLOSED AMOUNT IS

AUTHORIZED TO BE CHARGED TO DEPOSIT ACCOUNT

8. DEPOSIT ACCOUNT NUMBER:

03-0683

(AUTHORIZED TO BE CHARGED TO 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.

C. Douglas McDonald

SIGNATURE

DATE

NAME OF PERSON SIGNING

06-12-2001



ASSIGNMEN

101745444

ET

- PATENTS ONLY -

JC986 U.S. PTO  
09/861264  
05/18/01

To: Honorable Commissioner of Patents and Trademarks:

Please record the attached original document(s) or copy thereof.

- 1. Name of conveying party(ies)
  - a) Kevin Stewart Dick
  - b) Eric Kenneth Rescorla

05/18/01

- 2. Name and address of receiving party(ies):
  - a) Name: Claymore Systems, Inc.
  - Address: \_\_\_\_\_

- 3. Nature of conveyance
 

<input checked="" type="checkbox"/> Assignment	<input type="checkbox"/> Merger
<input type="checkbox"/> Security Agreement	<input type="checkbox"/> Change of Name
<input type="checkbox"/> Other _____	<input type="checkbox"/> License Agreement

Execution Date:

- 4. Application Number(s) or Patent Number(s): Not yet assigned

The title of the (new) application is: 09/861264

**SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT FOR AUDITING XML MESSAGES IN A NETWORK-BASED MESSAGE STREAM**

- 5. Please send all correspondence concerning this (these) documents to:

CARLTON FIELDS  
P.O. Box 3239  
Tampa, Florida 33601-3239  
Tel. No.: (813) 223-7000

- 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 No. 03-0683  
 (Order No. 44836) 03190

- 8. 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: 5-18-2001

Vidya Bhakar  
Registration No. 42,323

06/11/2001 GTON11 00000182 030683 09861264  
01 FC:581 40.00 CH

Attorney Docket No. CLAYP003/44836/03190  
(Revised 01/96)

**ASSIGNMENT OF PATENT APPLICATION**  
(Accompanying Application)

Whereas I/we the undersigned inventor(s) have invented certain new and useful improvements as set forth in the patent application entitled:



**SYSTEM, METHOD AND COMPUTER PROGRAM PRODUCT FOR AUDITING XML MESSAGES IN A NETWORK-BASED MESSAGE STREAM**

(Atty. Docket No.: CLAYP003/44836/03190) for which I (we) have executed an application for a United States Letters Patent.

For good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, I/we the undersigned inventor(s) hereby:

- 1) Sell(s), assign(s) and transfer(s) to Claymore Systems, Inc., a California corporation having a place of business at 3246 Lewis Rd Palo Alto CA 94303 (hereinafter referred to as ("ASSIGNEE"), the entire right title and interest in any and all improvements and inventions disclosed in, application(s) based upon, and Patent(s) (including foreign patents) granted upon the information which is disclosed in the above referenced application.
- 2) Authorize and request the Commissioner of Patents to issue any and all Letters Patents resulting from said application or any division(s), continuation(s), substitutes(s) or reissue(s) thereof to the ASSIGNEE.
- 3) Agree to execute all papers and documents and, entirely at the ASSIGNEE's expense, perform any acts which are reasonably necessary in connection with the prosecution of said application, as well as any derivative and applications thereof, foreign applications based thereon, and/or the enforcement of patents resulting from such applications.
- 4) Agree that the terms, covenants and conditions of this assignment shall inure to the benefit of the Assignee, its successors, assigns and other legal representative, and shall be binding upon the inventor(s), as well as the inventor's heirs, legal representatives and assigns.
- 5) Warrant and represent that I/we have not entered, and will not enter into any assignment, contract, or understanding that conflicts with this assignment.

Signed on the date(s) indicated beside my (our) signature(s).

- 1) Signature:  Date: 5/18/01  
 Typed Name: Kevin Stewart Dick
- 2) Signature:  Date: 5/17/01  
 Typed Name: Eric Kenneth Rescorla

Attny Docket No. CLAYP003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE: 09/861,264  
ASSIGNEE: Claymore Systems, Inc.  
ASSIGNORS: Kevin Stewart Dick  
Eric Kenneth Rescorla  
RECORDATION DATE: 5/18/01  
DOCUMENT ID NO.: 101745444

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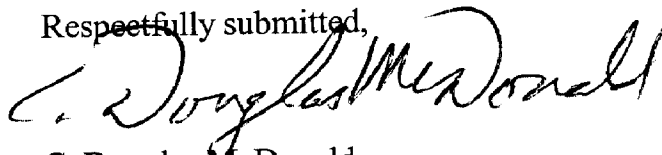
REQUEST FOR RESUBMISSION OF  
ASSIGNMENT FOR RECORDATION

U.S. Patent and Trademark Office  
Assignment Division  
Box Assignments, CG-4  
1213 Jefferson Davis Highway, Suite 320  
Washington, DC 20231

Sir/Madam:

We are enclosing a new cover sheet reflecting the correct name and address of the receiving party to be recorded in connection with the referenced application. We are also enclosing the previously submitted documents, which include the stamp with the official date of receipt by the Assignment Division. Please record the enclosed Assignment and return the Notice of Recordation to the undersigned attorney.

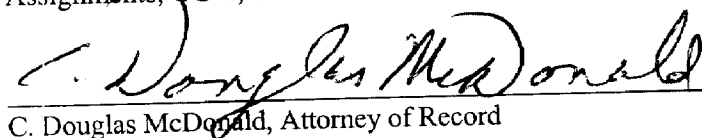
Respectfully submitted,



C. Douglas McDonald  
Registration No. 26,659  
CARLTON FIELDS, P.A.  
P.O. Box 3239  
Tampa, FL 33601-3239  
(813) 223-7000  
Attorney for Assignee

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to U.S. Patent and Trademark Office, Assignment Division, Box Assignments, CG-4, 1213 Jefferson Davis Highway, Suite 320, Washington, DC 20231, on the date set forth below.



C. Douglas McDonald, Attorney of Record

8/28/01  
Date



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

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

AUGUST 18, 2001

PTAS



\*101745444A\*

CARLTON FIELDS  
P.O. BOX 3239  
TAMPA, FLORIDA 33601-3239

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF NON-RECORDATION OF DOCUMENT

DOCUMENT ID NO.: 101745444

THE ENCLOSED DOCUMENT HAS BEEN EXAMINED AND FOUND NON-RECORDABLE BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. THE REASON(S) FOR NON-RECORDATION ARE STATED BELOW. DOCUMENTS BEING RESUBMITTED FOR RECORDATION MUST BE ACCOMPANIED BY A NEW COVER SHEET REFLECTING THE CORRECT INFORMATION TO BE RECORDED AND THE DOCUMENT ID NUMBER REFERENCED ABOVE.

THE ORIGINAL DATE OF FILING OF THIS ASSIGNMENT DOCUMENT WILL BE MAINTAINED IF RESUBMITTED WITH THE APPROPRIATE CORRECTION(S) WITHIN 30 DAYS FROM THE DATE OF THIS NOTICE AS OUTLINED UNDER 37 CFR 3.51. THE RESUBMITTED DOCUMENT MUST INCLUDE A STAMP WITH THE OFFICIAL DATE OF RECEIPT UNDER 37 CFR 3. APPLICANTS MAY USE THE CERTIFIED PROCEDURES UNDER 37 CFR 1.8 OR 1.10 FOR RESUBMISSION OF THE RETURNED PAPERS, IF THEY DESIRE TO HAVE THE BENEFIT OF THE DATE OF DEPOSIT IN THE UNITED STATES POSTAL SERVICE.

SEND DOCUMENTS TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231. IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE, YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.

1. THE COVER SHEET SUBMITTED FOR RECORDING IS NOT ACCEPTABLE. THE NAME AND ADDRESS OF THE RECEIVING PARTY(S) MUST BE INDICATED ON THE COVER SHEET.

JEEVON JONES, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

RECORDED: 08/28/2001

PATENT  
REEL: 012125 FRAME: 0648