

09/831893  
Washington, D.C. 20231

Commissioner of Patents & Trademark

09-20-2001

FORM PTO-1619A

RECO

(Rev. 6-99)



U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

To the Honorable Commissioner of Pat.

101852168

it or copy thereof.

1. Submission Type

☒ New

☐ Resubmission (Non-Recordation)

Document ID # \_\_\_\_\_

☐ Correction of PTO Error

Reel # \_\_\_\_\_ Frame # \_\_\_\_\_

☐ Corrective Document

Reel # \_\_\_\_\_ Frame # \_\_\_\_\_

08/28/01

2. Name of Conveying Party(ies):

KATO, Tadahiro  
IKEDA, Shunichi  
OHKURA, Kenji

Additional Name(s) of conveying party(s) attached? ☐ Yes ☒ No

3. Name and Address of Receiving Party(ies):

Name: SHIN-ETSU HANDOTAI CO., LTD.

Street Address: 4-2, Marunouchi 1-chome  
Chiyoda-ku

City: Tokyo

State/Country: JAPAN Zip: 100-0005

Additional name(s) & address(es) ☒ Yes ☐ No

4. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

☐ Other: \_\_\_\_\_

Execution Date(s): 05 23 2001

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

If this document is being filed together with a new application,

☐ the first execution date of the application is : \_\_\_\_\_

☒ The filing date of the application is: 05 24 2001

09/831893

A. Patent Application No.(s)

09/831,893

B. Patent No.(s)

6. Name and address of party to whom correspondence concerning this matter should be mailed:

CUSTOMER NUMBER 00136  
or  
JACOBSON HOLMAN PLLC  
400 Seventh Street, N.W.  
Washington, DC 20004  
Tel. 202-638-6666

Attorney Docket No. P66659US0

7. Number of applications and patents involved: 1

8. Total fee (37 CFR 3.41) ..... \$ 40.00

☒ Enclosed

☒ Any deficiencies in enclosed fees are authorized to be charged to deposit account 06-1358

DO NOT USE THIS SPACE

10. 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.

Nathaniel A. Humphries / 22,772

Name of Person Signing/ Reg. #

Nathaniel A. Humphries  
Signature

August 28, 2001

Date

Total number of pages excluding cover sheet: -1-

# ASSIGNMENT COVER SHEET - PAGE 2

## SECOND ASSIGNEE:

3. Name and Address of Receiving Party(ies):

Name: KOYO MACHINE INDUSTRIES CO., LTD.

Street Address: 34, Minamiuematsu-cho 2-chome

City: Yao-shi, Osaka

State/Country: JAPAN Zip: 581-0091

Additional name(s) & address(es) ☐ Yes ☒ No

# UNITED STATES OF AMERICA - ASSIGNMENT

(1-C) Insert Name(s) of Inventors (1) Tadahiro KATO  
 (2) Shunichi IKEDA  
 (3) Kenji OHKURA  
 (4) \_\_\_\_\_ and  
 (5) \_\_\_\_\_  
 In consideration of the sum of one dollar (\$1.00), and other good and valuable considerations paid to each of the undersigned, the receipt and sufficiency of which are hereby acknowledged, the undersigned agree(s) to assign, transfer and set over to  
 (7) Insert Name of Assignee (7) 1) Shin-Etsu Handotai Co., Ltd. and 2) Koyo Machine Industries Co., Ltd.  
 (8) Insert Address of Assignee (8) of 1) 4-2, Marunouchi 1-chome, Chiyoda-ku, Tokyo 100-0005 Japan and  
2) 34, Minamiuematsu-cho 2-chome, Yao-shi, Osaka 581-0091 Japan  
 (9) Insert Legal Entity and State or Country (e.g., a corporation or citizen of Japan) (9) corporations of Japan  
 (hereinafter designated as the Assignee) the entire right, title and interest for the United States, its territories, dependencies and possessions, in the invention known as  
 (10) Insert Identification of Invention, such as Title, Case Number or Foreign Application Number (10) DOUBLE SIDE GRINDING PROCESS AND APPARATUS  
FOR THIN DISKLIKE WORK  
 for which the undersigned has (have) executed an application for patent in the United States of  
 (11) Insert Date of signing of Application, or filing date and Serial No., if known (11) Said application having been ~~executed~~/filed on May 24, 2001 (and assigned Serial No. 09/831,893 )

1) The undersigned agree(s) to execute all papers necessary in connection with this application and any continuing or divisional applications and also to execute separate assignments in connection with such applications as the Assignee may deem necessary or expedient.

2) The undersigned agree(s) to execute all papers necessary in connection with any interference which may be declared concerning this or any continuing or divisional applications thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference.

3) The undersigned agree(s) to execute all papers and documents and perform any act which may be necessary in connection with claims provisions of the International Union for Protection of Industrial Property or similar agreements.

4) The undersigned agree(s) to perform all affirmative acts which may be necessary to obtain a grant of a valid United States patent to the

5) The undersigned hereby authorize(s) and request(s) the Commissioner of Patents and Trademarks to issue any and all Letters Patents United States resulting from this application or any continuing or divisional applications thereof to the said Assignee, as Assignee of the entire interest, and hereby covenants that he has (they have) full right to convey the entire interest herein assigned, and that he has (they have) not executed, and will not execute any agreement in conflict herewith.

6) The undersigned hereby grant(s) the law firm of Jacobson, Price, Holman & Stern, PLLC, 400 Seventh Street, N.W., Washington, D.C. 20004, 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 witness whereof, executed by the undersigned on the date(s) opposite the undersigned name(s).

Date	<u>May 23, 2001</u>	Name of Inventor	<u>Tadahiro KATO</u>	<u>Tadahiro Kato</u> (SEAL) signature
Date	<u>May 23, 2001</u>	Name of Inventor	<u>Shunichi IKEDA</u>	<u>Shunichi Ikeda</u> (SEAL) signature
Date	<u>May 23, 2001</u>	Name of Inventor	<u>Kenji OHKURA</u>	<u>Kenji Ohkura</u> (SEAL) signature
Date	_____	Name of Inventor	_____	_____ (SEAL) signature
Date	_____	Name of Inventor	_____	_____ (SEAL) signature
Date	_____	Name of Inventor	_____	_____ (SEAL) signature

This assignment should preferably be signed before a United States Consul if signed abroad, or a Notary Public if domestically signed. If not, then the execution by the inventor(s) should be witnessed by at least two witnesses who sign here:

☐ Additional inventor's names and signatures on a separate sheet.

Witness

Witness

LAW OFFICES OF  
 JACOBSON, PRICE, HOLMAN & STERN  
 PROFESSIONAL LIMITED LIABILITY COMPANY  
 THE JENIFER BUILDING  
 400 SEVENTH STREET, N.W.  
 WASHINGTON, D.C. 20004

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1-6-01  
7-9-01

Chris

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UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO. <b>09/831893</b>	FIRST NAMED APPLICANT	AITY DOCKET NO.
INTERNATIONAL APPLICATION NO.		
I.A. FILING DATE		
PRIORITY DATE		

DATE MAILED:

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as
- ☒ a Designated Office (37 CFR 1.494) ☐ an Elected Office (37 CFR 1.495):
  - ☒ U.S. Basic National Fee. ☐ Indication of Small Entity Status.
  - ☒ Copy of the international application. ☒ Translation of the international application into English.
  - ☐ Oath or Declaration of inventors(s). ☐ Translation of Article 19 amendments into English.
  - ☐ Copy of Article 19 amendments. ☐ Other:
  - ☒ Priority Document.
  - ☒ The International Preliminary Examination Report in English and its Annexes, if any.
  - ☐ Translation of Annexes to the International Preliminary Examination Report into English.

**JACOBSON HOLMAN PLLC**  
*Response Due On Or Before*  
**8 / 29 / 01**  
Month Day Year

2. ☒ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.
- ☐ U.S. Basic National Fee.
  - ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☒ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$\_\_\_\_\_ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☐ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation  
☐ PTO-875 ☐ PCT/DO/EO/920

Lamont Hunter, Paralegal  
Telephone: 703 305-3686

FORM PCT/DO/EO/905 (March 2001)

**COPY**

**RECORDED: 08/28/2001**

**PATENT**  
**REEL: 012167 FRAME: 0933**