

09-21-2001



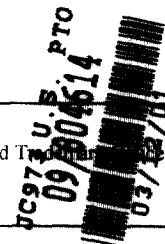
101851288

FORM PTO-1595  
1-31-92

U.S. DEPARTMENT OF COMMERCE

RECORDATION FORM COVER SHEET  
PATENTS ONLY

Patent and Trademark Office



To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Peter Heffernan  
Sun Microsystems LimitedAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

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

Name: Sun Microsystems, Inc.Street Address: 901 San Antonio RoadCity Palo Alto State CA ZIP 94303Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of Conveyance:

- ☒ Assignment  
☐ Merger  
☐ Security Agreement  
☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: August 31, 2000

SEP 17 2001

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

If this document is being filed together with a new application, the execution date of this application is:

A. Patent Application No.(s)

B. Patent No.(s)

09/804614

Additional numbers attached? ☐ Yes ☒ No

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

Name: B. Noel KivlinInternal Address: Conley, Rose & Tayon, P.C.Street Address: P.O. Box 396City Austin State TX ZIP 78767-03986. Total number of applications & patents involved: 17. Total fee (37 CFR 3.41): .....\$ 40.00

- ☒ Enclosed  
☐ Authorized to be charged to deposit account

## 8. Deposit account number:

(Attach a duplicate copy of this page if paying by 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.*B. Noel Kivlin  
Name of Person Signing  
Reg. No. 33,929

Signature

3-12-01

Date

Total number of pages: 30

OMB No. 0651-011 (exp.4/94)

09/20/2001 6TOW11 00000087 501623 0980461

01 FC:581

40.00 CH

PATENT  
REEL: 012174 FRAME: 0067

SUN REF: P4872

ACKNOWLEDGEMENT by an Employee of the Right to apply for a Patent and AN ASSIGNMENT to have effect on the **THIRTY FIRST DAY OF AUGUST 2000 BETWEEN**

**PETER HEFFERNAN**, of BRITISH nationality, 39 NICHOL ROAD, CHANDLERS FORD, HAMPSHIRE, SO53 5AX, UNITED KINGDOM (hereinafter referred to as "Inventor") of the first part;

**SUN MICROSYSTEMS LIMITED**, a UNITED KINGDOM company, having a place of business at BAGSHOT MANOR, GREEN LANE, BAGSHOT, SURREY, GU19 5NL, UNITED KINGDOM (hereinafter referred to as "Employer Company") of the second part; AND

**SUN MICROSYSTEMS, INC.**, a corporation of Delaware, United States of America, having a place of business at M/S PAL1-521, 2550 GARCIA AVENUE, MOUNTAIN VIEW, CALIFORNIA 94043-1100, UNITED STATES OF AMERICA (hereinafter referred to as "Parent Company") of the third part.

WHEREAS :-

- (A) The Inventor claims to have made the Invention described in the Schedule (hereinafter referred to as "the Invention");
- (B) The Invention has been made by the Inventor during the period of his/her employment with the Employer Company and in the course of his/her normal duties with the Employer Company and by virtue of the terms of his/her employment with the Employer Company, the Invention is to be taken as between the Employer Company and the Inventor to belong to the Employer Company;
- (C) The Employer Company agrees to assign the Invention and the right to apply for a patent or patents relating to the said Invention to the Parent Company together with all rights title and beneficial interest in and arising therefrom.

NOW THIS AGREEMENT WITNESSES as follows:-

1. The Inventor HEREBY ACKNOWLEDGES that the Invention and all rights therein including the right to apply for a patent or patents relating to the Invention belongs to the Employer Company, and pursuant thereto HEREBY ASSIGNS TO AND CONFIRMS the vesting in the Employer Company of:
  - (a) the whole of the property in the Invention throughout the world and any protection obtained at any time therefor and all rights title and interest which the Inventor may have or have been entitled to therein including all rights to bring proceedings for infringement thereof together with the full and exclusive benefit thereof; and
  - (b) the right to apply for and obtain or to enable others to apply for and obtain a patent or patents or any other form of protection in respect of the Invention both in the United States of America and throughout the world.
2. In pursuance of the agreement referred to in Recital (C) and IN CONSIDERATION of the sum of FIVE US DOLLARS, receipt of which is hereby confirmed, the Employer Company hereby assigns to the Parent Company all its rights in the Invention including the right to apply for a patent or patents and to exploit the Invention or any patent or other protection obtained in respect thereof TO HOLD the same unto the Parent Company absolutely.
3. The Inventor hereby undertakes to the Parent Company that he/she will at the expense of the Parent Company execute all documents and do all such acts and things as the Parent Company may in its absolute discretion consider necessary or desirable to enable Letters Patent or any form of protection to be issued in respect of the Invention in any part or parts of the world and to vest the same in the name of the Parent Company or its nominee free from all encumbrances and to enable or to assist the Parent Company or its nominee to defend oppositions to grant thereof, to maintain the same when granted and to present and prosecute for the infringement thereof.
4. The Inventor hereby warrants to the Employer Company and to the Parent Company:
  - (a) that he/she has not assigned or agreed to assign to any person firm or company or otherwise encumbered the Invention or any other part of the rights therein and thereto;

(b) that he/she has not disclosed and will not disclose the Invention to any person firm or company other than the Employer Company or the Parent Company except as directed by the Employer Company or the Parent Company;  
(c) that he/she will give to the Employer Company or the Parent Company all information in his/her possession or in his/her power relating to the Invention and the method of employing or using the same as the Employer Company or the Parent Company shall require;  
(d) that he/she knows of no reason why a valid patent or valid patents relating to the Invention should not be granted either to himself/herself or to his/her successors in title.

IN WITNESS thereof the parties have duly executed this document to have effect the day and year first above written

SCHEDULE

The invention is as described in the draft specification entitled:- "**COMPUTER SYSTEM AND METHOD OF OPERATING A COMPUTER SYSTEM**" (SUN REF: P4872).

SIGNED by the Inventor:

Witness

  
PETER HEFFERMAN

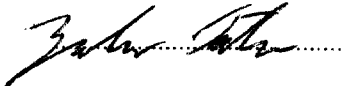
SIGNED for and on behalf of  
SUN MICROSYSTEMS LIMITED:

  
SUSAN FERGUSON  
SOLICITOR AND COMPANY SECRETARY  
SUN MICROSYSTEMS LIMITED

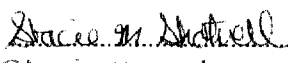
SIGNED for and on behalf of  
SUN MICROSYSTEMS, INC:

  
KENNETH OLSEN  
VICE PRESIDENT INTELLECTUAL PROPERTY  
SUN MICROSYSTEMS, INC

Witness

  
A.S Chapman  
Anne Susan Chapman

Witness

  
Stacie N. Shottwell