

RE

06-12-2002

IDENT ID: 102013721



102120002

US DEPARTMENT OF COMMERCE
Patent and Trademark Office

To the Honorable Commissioner of Patents

Please record the attached original documents or copy thereof:

1. Name of Conveying party (ies):

CrossRoads Software Inc.

6-10-02

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

Name: **CrossWorlds Corporation**

Street: **577 Airport Blvd, Suite 800**

City: **Burlingame** State: **CA** ZIP: **94010**

Additional name (s) of conveying party (ies) attached

[] Yes [X] No

Additional name (s) & addresses (es) attached?

[] Yes [X] No

3. Nature of Conveyance:

Change of Name

Execution Date: January 30, 1998

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):

B. Patent No. (s): 5,913,061

Additional numbers attached? [] Yes [X] No

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

Name: **IBM Corporation**
Internal Address: **Intellectual Property Law
J46/G4**
Street Address: **555 Bailey Avenue**
City: **San Jose** State: **CA** Zip: **95141-1003**

6. Total number of applications and patents involved: **One**

7. Total fee (37 CFR 3.41).....\$ **40.00 (previously paid)**
[] Enclosed
[] Authorized to be charged to deposit account

8. Deposit Account Number: **09-0460**

(Docket No. SVL9-2002-0600US1)

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.

Romualdas Strimaitis

Romualdas Strimaitis, Reg # 35,697

5/31/02

Date: May 31, 2002

Total number of pages including cover sheet, attachments, and document: (13)

C

3-13-2002

In the [redacted] mark Office

Box Assignments
Commissioner of Patents
Washington, D.C. 20231

**Assignment (Document) Cover Sheet
(37 C.F.R. § 3.31)
To Record Change of Name**

Attached please find an assignment (document) for recordal.

- 1. The accompany document intends to accomplish a **change of name**
- 2. The assignment is for the following issued patent:

Patent No: 5,913,061

Issued : June 15, 1999

Which was previously assigned and recorded

Date: April 9, 1997

Reel : 8533

Frame: 0029

**TOTAL NUMBER OF APPLICATIONS AND/OR PATENTS
AND TOTAL FEE**

- 3. A. The total number of applications and/or patents identified in this cover sheet is One.

a. The total fee is (37 C.F.R. § 1.21(h)):

1 x \$40.00 = \$40.00

b. Payment of fee is made by:

Authorization is hereby made to charge the amount of \$40.00

To Deposit Account No. 09-0460

Charge any additional fees required by this paper or credit any overpayment in the manner authorized above. **A duplicate of this paper is attached.**

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

- 4. Please address correspondence to
International Business Machines Corporation
Intellectual Property Law J46/G4
555 Bailey Avenue
San Jose, CA 95141-1003

RECEIVED
2002 MAR 13 PM 9: 23
ASSIGNMENT SERVICES
DIVISION

03/13/2002 6TOM11 00000245 090460 5913061
01 FC:581 40.00 CH

Telephone No.: (408) 463-5671

ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED

- 5. Submitted herewith is X a true copy of the original document, which I certify to be a true copy

STATEMENT AND SIGNATURE

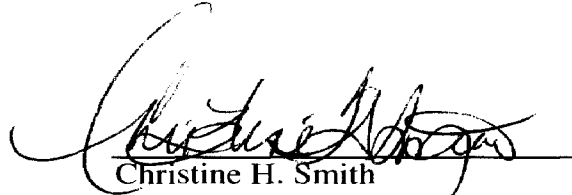
- 6. To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

CERTIFICATE OF MAILING

I hereby certify that the above paper/fee is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner for Patents, Washington, DC 20231 on

Person Mailing paper/fee Jeanette Berry Souza

Signature: _____



Christine H. Smith
Registration No.:43,133
Attorney for Applicant(s)
Telephone: (408)463-5671
IBM Corporation
Intellectual Property Law
Dept J46/G4
555 Bailey Avenue
San Jose, CA 95141-1003

Date: March 12, 2008

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

In the United States Patent and Trademark Office

In re application of: Prashant Gupta et al.,

Patent No.: 5,913,061

Issue Date: June 15, 1999

For: Modular Application Collaboration

Change of Name of Assignee

1. Particulars of assignment

An assignment has been recorded in the Patent and Trademark office for this invention on **April 9, 1997**.

Reel: 8533

Frame: 0029

A copy of the recorded assignment is attached.

2. Old name of assignee

The old name of the assignee shown on the above assignment is

CROSSROADS SOFTWARE, INC.

3. New name of assignee

The new name of the assignee is

CROSSWORLDS SOFTWARE, INC.

Page 2 of 2.

4. Proof of name

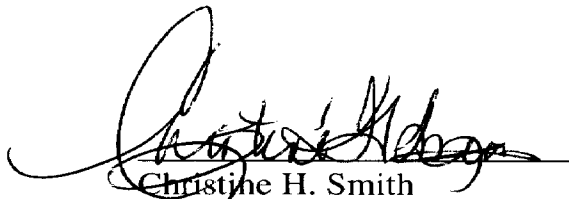
Proof of change of name is established by the attached
 X certificate of the Secretary of State of Delaware
showing the name change.

 certificate of name change from the following authority:

5. Payment of fee

Please refer to the "Assignment (Document) Cover Sheet," to which this paper is attached.

Date:



Christine H. Smith
Registration No.:43,133
Telephone: (408)463-5671
IBM Corporation
Intellectual Property Law
Dept J46/G4
555 Bailey Avenue
San Jose, CA 95141-1003

ASSIGNMENT

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS, Prashant Gupta, and Katrina A. Mellen-Garnett, hereby sell, assign, and transfer to ASSIGNEE, CrossRoads Software, Inc., a California Corporation, having its offices located at 1825 South Grant Street, Suite 250, San Mateo, California 94402, and the successors, assigns and legal representatives of ASSIGNEE all of the right, title and interest of ASSIGNORS throughout the world in and to any and all improvements in the invention entitled:

MODULAR APPLICATION COLLABORATION

and which is found in

- (a) ___ U.S. patent application executed on _____, entitled as above and listing the above named persons as inventors
- (b) X U.S. patent application serial no. 08/780,593, filed on January 8, 1997.
- (c) ___ U.S. Patent No.: _____, issued _____.

and any legal equivalent thereof in any foreign country, including the right to claim priority, and in and to all Letters Patent to be obtained for said invention by the above application or in any continuation, division, continuation-in-part, extension or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property.

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

ASSIGNORS further covenant 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 ASSIGNORS and that ASSIGNORS will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or 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. An attorney or record, or the attorney filing the application, is authorized and requested by the execution of this assignment to insert into this assignment the execution date of the application and/or the filing date and serial number of the application when officially known.

ASSIGNORS request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE.

executed this

Signature of Inventor

3 day of March, 1997

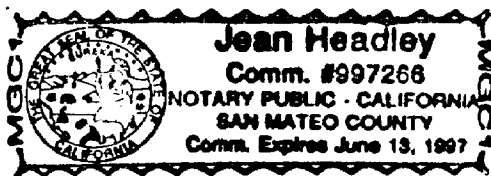
Prashant Gupta
Prashant Gupta

STATE OF CALIFORNIA)
County of San Mateo) ss.

On March 13, 1997, before me, Jean Headley, a Notary Public for the State of California, personally appeared Prashant Gupta, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument, and acknowledged to me that he executed the same in his authorized capacity, and that by his signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal

Jean Headley



executed this

Signature of Inventor

13 day of March, 1997

Katrina A. Mellen-Garnett
Katrina A. Mellen-Garnett

STATE OF CALIFORNIA)
) ss.
County of San Mateo)

On March 13, 1997 before me, Jean Headley, a Notary Public for the State of California, personally appeared Katrina A. Mellen-Garnett, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to the within instrument, and acknowledged to me that she executed the same in ~~his~~ authorized capacity, and that by ~~his~~ signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

Witness my hand and official seal

Jean Headley



**CERTIFICATE OF AMENDMENT OF THE
AMENDED AND RESTATED CERTIFICATE OF INCORPORATION
OF CROSSROADS SOFTWARE, INC.
a Delaware Corporation**

CrossRoads Software, Inc., a corporation organized and existing under and by virtue of the General Corporation Law of the State of Delaware (the "General Corporation Law"), DOES HEREBY CERTIFY THAT:

FIRST: The Certificate of Incorporation was filed with the Secretary of State of the State of Delaware on March 8, 1996 under the name CrossRoads Software, Inc, (the "Corporation").

SECOND: That at a meeting of the Board of Directors of this Corporation, resolutions were duly adopted (in accordance with Section 242 of the General Corporation Law) setting forth the proposed amendment of the Amended and Restated Certificate of Incorporation of this Corporation, declaring said amendment to be advisable, and authorizing the appropriate officers of this Corporation to solicit written consent of the stockholders of this Corporation upon the consideration thereof. The resolution setting forth the proposed amendment is as follows:

RESOLVED: That Article I of the Amended and Restated Certificate of Incorporation of this Corporation is amended to read in its entirety as follows:

"The name of this Corporation is CrossWorlds Software, Inc."

THIRD: That thereafter, pursuant to a resolution of its Board of Directors, the written consent of the stockholders of this Corporation was duly called for in accordance with Section 228(a) of the General Corporation Law, and holders of the requisite number of shares as required by statute consented to the adoption of said amendment.

FOURTH: That said amendment was duly adopted in accordance with the provisions of Section 242 of the General Corporation Law.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Amendment of the Amended and Restated Certificate of Incorporation on January 30, 1998.

CROSSROADS SOFTWARE, INC.

By: /s/ Katrina A. Garnett
Katrina A. Garnett
President and Chief Executive Officer

Attest:

By: /s/ Howard S. Zeprun
Howard S. Zeprun
Secretary

ODMAIPCIXUC3USQL2M9133R1

State of Delaware

PAGE 1

Office of the Secretary of State

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "CROSSROADS SOFTWARE, INC", CHANGING ITS NAME FROM "CROSSROADS SOFTWARE, INC" TO "CROSSWORLDS SOFTWARE, INC.", FILED IN THIS OFFICE ON THE THIRTIETH DAY OF JANUARY, A.D. 1998, AT 4:30 O'CLOCK P.M.



Edward J. Freel

Edward J. Freel, Secretary of State

2600617 8100

981039851

AUTHENTICATION:

8899009

DATE:

02-03-98