

08-28-2002



To the Honorable Commissioner of Patent

102203573

original documents or copy thereof.

1. Name of conveying party(ies):

(1) Gordon James Smith

Additional names of conveying party(ies) attached?

☐ yes ☒ no

3. Nature of Conveyance

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

Execution Date: (1) August 7, 2002

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

Name: International Business Machines Corporation

Internal Address:

Street Address: New Orchard Road

City Armonk

State New York Zip 10504

Additional name(s) & address(es) attached? ☐ yes ☒ no

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

**TITLE: SERVER INITIATED PREDICTIVE FAILURE ANALYSIS FOR DISK DRIVES**

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

A. Patent Application No(s).

Serial No. 10/176,205  
Docket ROC920020105US1

B. Patent No(s).

Additional numbers attached? ☐ Yes ☒ No

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

James R. Nock, Attorney  
IBM Corporation - Dept. 917  
3605 Highway 52 North  
Rochester, MN 55901

6. Total number of applications and patents involved: \_

7. Total fee (37 CVF 3.41):

\$ 40.00

☐ Enclosed

☒ Authorized to be charged to deposit account

☒ Total fee due

☒ Any deficiencies in the enclosed fees

8. Deposit account number:

09-0465

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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.

James R. Nock, Reg. No. 42,937  
Name of Person Signing

James R. Nock  
Signature

August 14, 2002  
Date

Total number of pages including cover sheet, attachments and documents: 1

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2002 AUG 22 AM 10:02  
FINANCE SECTION

08/27/2002 DRYNE 00000027 030465 10176205  
01 FD:581 40.00 CH

**ASSIGNMENT**

Whereas, we

(1) Gordon James Smith  
County of OlmstedCity of Rochester,  
and State of Minnesota,

have invented certain improvements in

**SERVER INITIATED PREDICTIVE FAILURE ANALYSIS FOR DISK DRIVES**

and have executed, respectively, a United States patent application therefor on

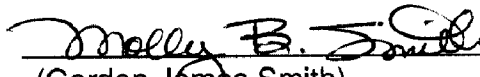
Dates Inventors

Signed

Declaration (1) August 7, 2002

And whereas, INTERNATIONAL BUSINESS MACHINES CORPORATION, a corporation of New York, having a place of business at Armonk, New York 10504, (hereinafter called IBM), desires to acquire the entire right, title and interest in the said application and invention, and to any United States and foreign patents to be obtained therefor;

Now therefore, for a valuable consideration, receipt whereof is hereby acknowledged, we the above named hereby sell, assign, and transfer to IBM, its successors and assigns, the entire right, title and interest in the said application and invention therein disclosed for the United States and foreign countries, and all rights of priority resulting from the filing of said United States application, and we request the Commissioner of Patents to issue any Letters Patent granted upon the invention set forth in said application to IBM, its successors and assigns; and we hereby agree that IBM may apply for foreign Letters Patent on said invention and we will execute all papers necessary in connection with the United States and foreign applications when called upon to do so by IBM.

**Signed**Signed by Molly Smith as Personal Representative  
for The Estate of Gordon James SmithInventor (1) at Rochester, Minnesota
  
 (Gordon James Smith)  
 First Name Initial Last Name
Inventor  
Signatureon August 7, 2002.