

09-27-2002

OR9-2001-0563US1 (8728-541)

Form PTC-1595  
1-31-92



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HEET

*Resubm*

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

1. Name of conveying party(ies): *9-23-02*  
Joerg Appenzeller, Phaedon Avouris,  
Kevin K. Chan, Philip G. Collins,  
Richard Martel, Hon-Sum Philip Wong  
Additional name(s) of conveying party(ies)  
attached?  Yes  No

2. Name and address of receiving party(ies):  
Name: International Business Machines Corporation  
Armonk, New York 10504

3. Nature of conveyance:  
 Assignment  Merger  
 Security Agreement  Change of Name  
 Other To add missing conveying party  
Execution Date: April 23 and 30, 2002 and May 20, 2002

Additional name(s) & address(es) attached:  
 Yes  No

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)  
10/102,365  
Additional numbers attached?  Yes  No

B. Patent No.(s)  
*FINANCIAL SECTION*

5. Name and address of party to whom correspondence concerning document should be mailed:  
Name: Frank Chau, Esq.  
Street Address: F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Turnpike, Suite 501  
City: East Meadow State: NY Zip: 11554

6. Total number of applications and patents involved: 1  
7. Total fee (37 C.F.R. §3.41): \$40.00  
 Enclosed  
 Authorized to be charged to deposit account  
8. Deposit account number:  
50-0510/IBM (Yorktown Heights)  
(Attach duplicate copy of this page if paying by deposit account)

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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.  
Nathaniel T. Wallace  
Registration No. 48,909  
Name of Person Signing *Nathaniel T. Wallace* Signature *Nathaniel T. Wallace* Date Sept 17 '02  
Total number of pages including cover sheet, attachments and documents: 3

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04-02-2002



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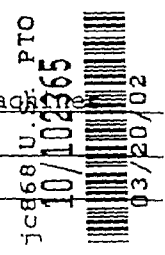
To the Honorable Co

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Kevin K. Chan, Richard Martel,  
Hon-Sum Philip Wong  
Additional name(s) of conveying party(ies)  
attached?  Yes  No

03/20/02

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Name: International Business Machines Corporation  
Armonk, New York 10504



3. Nature of conveyance:  
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 Security Agreement  Change of Name  
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 Yes  No

Execution Date: January 23 and 24, 2002

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: January 23 and 24, 2002

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Additional numbers attached?  Yes  No

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Registration No. 48,909  
Name of Person Signing

Signature

3/20/02  
Date

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# Assignment

Whereas, we

Inventor  
and City

(1) **Joerg Appenzeller**  
County of **Westchester**

of **Valhalla**  
and State of **New York**

and (2) **Phaedon Avouris**  
County of **Westchester**

of **Yorktown Heights**  
and State of **New York**

and (3) **Kevin K. Chan**  
County of **Richmond**

of **Staten Island**  
and State of **New York**

and (4) **Philip G. Collins**  
County of **Alameda**

of **Oakland**  
and State of **California**

and (5) **Richard Martel**  
County of **Westchester**

of **Peekskill**  
and State of **New York**

and (6) **Hon-Sum Philip Wong**  
County of **Westchester**

of **Chappaqua**  
and State of **New York**

have invented certain improvements in U.S. Patent Appln. Serial No. 10/102,365  
filed on March 20, 2002

TITLE **SELF-ALIGNED NANOTUBE FIELD EFFECT TRANSISTOR AND  
METHOD OF FABRICATING SAME**

and executed, respectively, a United States patent application therefor on  
DATES THAT (1) 2002 and (2) 2002 and (3) 2002  
INVENTORS (4) 2002 and (5) 2002 and (6) 2002.  
SIGNED THE  
DECLARATION

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 inventions 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 and sealed  
CITY (1) at \_\_\_\_\_ SIGNATURE  
DATE on 2002, ( **Joerg Appenzeller** ) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (2) at \_\_\_\_\_ SIGNATURE  
DATE on 2002, ( **Phaedon Avouris** ) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (3) at \_\_\_\_\_ SIGNATURE  
DATE on 2002, ( **Kevin K. Chan** ) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (4) at \_\_\_\_\_ SIGNATURE  
DATE on April 23 2002, ( **Philip G. Collins** ) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (5) at \_\_\_\_\_ SIGNATURE  
DATE on 2002, ( **Richard Mertel** ) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (6) at \_\_\_\_\_ SIGNATURE  
DATE on 2002, ( **Hon-Sum Philip Wong** ) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

# Assignment

Whereas, we

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and City

(1) **Joerg Appenzeller**  
County of **Westchester**

of **Valhalla**  
and State of **New York**

and (2) **Phaedon Avouris**  
County of **Westchester**

of **Yorktown Heights**  
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and (6) **Hon-Sum Philip Wong**  
County of **Westchester**

of **Chappaqua**  
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and executed, respectively, a United States patent application therefor on

DATES THAT	(1)	2002	and (2)	2002	and (3)	2002
INVENTORS	(4)	2002	and (5)	2002	and (6)	2002.
SIGNED THE DECLARATION						

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 inventions 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 and sealed  
CITY (1) at Yorktown Heights \_\_\_\_\_ SIGNATURE  
DATE 4/30/02 on \_\_\_\_\_ 2002, (**Joerg Appenzeller**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (2) at Yorktown Heights \_\_\_\_\_ SIGNATURE  
DATE on 4/30 2002, (**Phaedon Avouris**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (3) at Yorktown Heights \_\_\_\_\_ SIGNATURE  
DATE 4/30/02 on \_\_\_\_\_ 2002, (**Kevin K. Chan**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (4) at \_\_\_\_\_ SIGNATURE  
DATE on \_\_\_\_\_ 2002, (**Philip G. Collins**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (5) at Yorktown Heights \_\_\_\_\_ SIGNATURE  
DATE 4/30/02 on \_\_\_\_\_ 2002, (**Richard Martel**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

Signed and sealed  
CITY and (6) at Yorktown Heights \_\_\_\_\_ SIGNATURE  
DATE 5/20/02 on \_\_\_\_\_ 2002, (**Hon-Sum Philip Wong**) INVENTOR  
FIRST NAME MIDDLE INITIAL LAST NAME

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Appenzeller et al. Docket No.: YOR9-2001-0563US1 (8728-541)

Serial No.: 10/102,365 Reel/Frame: 012724/0786

Filed: March 20, 2002

For: SELF-ALIGNED NANOTUBE FIELD EFFECT TRANSISTOR AND  
METHOD OF FABRICATING SAME

## BOX ASSIGNMENTS

Assistant Commissioner for Patents  
Washington, D.C. 20231**REQUEST FOR CORRECTION TO  
NOTICE OF RECORDATION OF ASSIGNMENT**

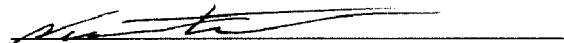
Sir:

Please issue a corrected Notice of Recordation of Assignment Document for the above-identified application with the following correction:

please add the inventor Philip G. Collins.

A copy of the original Notice of Recordation is attached noting the Reel and Frame (012724/0786) and corresponding Recordation Cover Sheet and Assignment. Also attached are a newly executed Assignment including inventor Philip G. Collins, a new Corrected Recordation Cover Sheet, the Notice of Non-Recordation and corresponding previous Corrected Recordation Form Cover Sheet. The recordation fee of \$40.00 under 37 C.F.R. 3.41 is hereby authorized to be charged to deposit account 50-0510/IBM (Yorktown Heights).

Respectfully submitted,

F. CHAU & ASSOCIATES, LLP  
1900 Hempstead Turnpike, Suite 501  
East Meadow, NY 11554  
(516) 357-0091  
Nathaniel T. Wallace  
Reg. No. 48,909  
Attorney for ApplicantCERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, postpaid in an envelope, addressed to the: Assistant Commissioner for Patents, Washington, D.C. 20231 on September 17, 2002.

Dated: Sept 17 '02  
Nathaniel T. Wallace

RECORDED: 09/23/2002

PATENT  
REEL: 013325 FRAME: 0192