

5699/P1

FORM PTO-1595 RECORDATION FORM COVER SHEET U.S. DEPARTMENT OF COMMERCE  
(Modified) 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):

Feng Q. Liu  
Stan D. Tsai  
Yongqi Hu  
Siew S. NEO  
Yan Wang  
Alain Duboust  
Liang-Yu Chen

## EXECUTION DATE

May 9, 2003  
May 12, 2003  
May 9, 2003  
May 9, 2003  
May 9, 2003  
May 12, 2003  
May 8, 2003

Additional name(s) of conveying part(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment

☐ Merger

☐ Security Agreement

☐ Change of Name

Other

Execution Date: SEE ABOVE

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

Name: Applied Materials, Inc.

Internal Address: Patent Department

Street Address: P. O. Box 450A

M/S #2061

City: Santa Clara State: CA Zip: 95052

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)

B. Patent No.(s)

Serial No.: 10/378,097 Filing Date: February 26, 2003

Additional Numbers attached? ☐ Yes ☒ No

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

Name: PATENT COUNSEL

Internal Address: Applied Materials, Inc.

Patent Dept.

Street Address: P. O. Box 450A

M/S 2061

City: Santa Clara State: CA ZIP: 95052

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$40,00

☐ Enclosed

☒ Authorized to be charged to deposit account

## 8. Deposit account number:

50-1074

(Attach 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 any attached copy is a true copy of the original document.

Raymond Kam-On Kwong Reg. No. 37,165

Name of Person Signing

Signature

May 23, 03 P

## 10. Total number of pages comprising cover sheet, attachments, and document:

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with the required cover sheet information to:  
Commissioner of Patents & Trademarks, Box Assignments  
Washington, D.C. 20231

700031441

PATENT  
REEL: 013680 FRAME: 0318

Attorney Docket No.005699 / CMP/CMP /RKK**ASSIGNMENT FOR APPLICATION FOR PATENT**

WHEREAS:

Names and Addresses of Inventors:

Feng Q LIU* 4729 Lago Vista Circle San Jose, CA 95129	Stan D TSAI* 5444 Dekker Terrace Fremont, CA 94555
Yongqi HU* 600 Marathon Drive #9 Campbell, CA 95008	Siew S NEO* 1556 Halford Ave, Suite 292 Santa Clara, CA 95051
Yan WANG* 920 Rockfeller Drive 11B Sunnyvale, CA 94087	Alain DUBOUST* 668 Bryan Avenue Sunnyvale, CA 94086
Liang-Yuh CHEN* 1400 Melbourne Street Foster City, CA 94404	

(hereinafter referred to as Assignors), have invented a certain invention entitled:

***METHOD AND COMPOSITION FOR POLISHING A SUBSTRATE***

for which application for Letters Patent in the United States was filed on 02/26/2003, under Serial No. 10/378,097, executed on even date herewith; and

WHEREAS, Applied Materials, Inc., a corporation of the State of Delaware, having a place of business at 3050 Bowers Avenue, Santa Clara, California 95054 (hereinafter referred to as Assignee), is desirous of acquiring the entire right, title and interest in and to said application (hereinafter referred to as Application), and the invention disclosed therein (hereinafter referred to as Invention), and in and to all embodiments of the Invention, heretofore conceived, made or discovered by said Assignors, and in and to any and all patents, Inventor's certificates and other forms of protection (hereinafter referred to as Patents) thereon granted in any and all countries and groups of countries,

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by said Assignors to have been received in full from said Assignee:


1. Said Assignors hereby sell, assign, transfer and convey to Assignee the full and exclusive right, title and interest
  - (a) in and to said Application and said invention;
  - (b) in and to all rights to apply for patents on said Invention in any and all countries pursuant to the International Convention for the Protection of Industrial Property or otherwise;
  - (c) in and to any and all Applications filed and any and all Patents granted on said Invention in any and all countries and groups of countries, including each and every Application filed and each and every Patent granted on any application which is a division, substitution, or continuation of said Application; and
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2. Said Assignors hereby covenant and agree to cooperation with said Assignee to enable said Assignee to

enjoy the fullest extent the right, title and interest to said Invention herein conveyed in any and all countries and groups of countries. Such cooperation by said Assignors shall include prompt production of pertinent facts and documents, giving testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said Assignee

- (a) for perfecting in said Assignee the right, title and interest here in conveyed;
- (b) for prosecuting any of said applications;
- (c) for filing and prosecuting substitute, divisional, continuing or additional applications covering said invention;
- (d) for filing and prosecuting applications for reissuance of any of said Patents;
- (e) for interference or other priority proceedings involving said invention; and
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- 3. The term and covenants of this agreement shall inure to the benefit of said Assignee, its successors, assigns and other legal representatives, and shall be binding upon said Assignors, their respective heirs, legal representatives and assigns.
- 4. Said Assignors hereby warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF, the said Assignors have executed and delivered this instrument to said Assignee on the dates indicated below.

 Date: 05/09/03  
Feng Q LIU\* Employee No: 86656

\_\_\_\_\_  
Stan D TSAI\* Employee No: 73896

\_\_\_\_\_  
Yongqi HU\* Employee No: 87288

\_\_\_\_\_  
Siew S NEO\* Employee No: 74564

\_\_\_\_\_  
Yan WANG\* Employee No: 80254

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Alain DUBOUST\* Employee No: 61194

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Liang-Yuh CHEN\* Employee No: EXEMPT/63394

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Feng Q LIU* Employee No: 86656	Date: _____
 Stan D TSAI* Employee No: 73896	Date: May 12/03
Yongqi HU* Employee No: 87288	Date: _____
Siew S NEO* Employee No: 74564	Date: _____
Yan WANG* Employee No: 80254	Date: _____
Alain DUBOUST* Employee No: 61194	Date: _____
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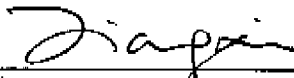
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Yongqi HU\* Employee No: 87288      Date: \_\_\_\_\_

  
Siew S NEO\* Employee No: 74564      Date: May 9<sup>th</sup> '03

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Attorney Docket No.005699 / CMP/CMP /RKK

## ASSIGNMENT FOR APPLICATION FOR PATENT

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Names and Addresses of Inventors:

Feng Q LIU* 4729 Lago Vista Circle San Jose, CA 95129	Stan D TSAI* 5444 Dekker Terrace Fremont, CA 94555
Yongqi HU* 600 Marathon Drive #9 Campbell, CA 95008	Siew S NEO* 1556 Halford Ave, Suite 292 Santa Clara, CA 95051
Yan WANG* 920 Rockefeller Drive 11B Sunnyvale, CA 94087	Alain DUBOUST* 668 Bryan Avenue Sunnyvale, CA 94086
Liang-Yuh CHEN* 1400 Melbourne Street Foster City, CA 94404	

(hereinafter referred to as Assignors), have invented a certain invention entitled:

***METHOD AND COMPOSITION FOR POLISHING A SUBSTRATE***

for which application for Letters Patent in the United States was filed on 02/26/2003, under Serial No. 10/378,097, executed on even date herewith; and

WHEREAS, Applied Materials, Inc., a corporation of the State of Delaware, having a place of business at 3050 Bowers Avenue, Santa Clara, California 95054 (hereinafter referred to as Assignee), is desirous of acquiring the entire right, title and interest in and to said application (hereinafter referred to as Application), and the invention disclosed therein (hereinafter referred to as Invention), and in and to all embodiments of the Invention, heretofore conceived, made or discovered by said Assignors, and in and to any and all patents, Inventor's certificates and other forms of protection (hereinafter referred to as Patents) thereon granted in any and all countries and groups of countries.

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by said Assignors to have been received in full from said Assignee:

1. Said Assignors hereby sell, assign, transfer and convey to Assignee the full and exclusive right, title and interest
  - (a) in and to said Application and said invention;
  - (b) in and to all rights to apply for patents on said Invention in any and all countries pursuant to the International Convention for the Protection of Industrial Property or otherwise;
  - (c) in and to any and all Applications filed and any and all Patents granted on said Invention in any and all countries and groups of countries, including each and every Application filed and each and every Patent granted on any application which is a division, substitution, or continuation of said Application; and
  - (d) in and to each and every reissue of extension of any of said Patents.
2. Said Assignors hereby covenant and agree to cooperation with said Assignee to enable said Assignee to

enjoy the fullest extent the right, title and interest to said Invention herein conveyed in any and all countries and groups of countries. Such cooperation by said Assignors shall include prompt production of pertinent facts and documents, giving testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said Assignee

- (a) for perfecting in said Assignee the right, title and interest here in conveyed;
- (b) for prosecuting any of said applications;
- (c) for filing and prosecuting substitute, divisional, continuing or additional applications covering said invention;
- (d) for filing and prosecuting applications for reissuance of any of said Patents;
- (e) for interference or other priority proceedings involving said invention; and
- (f) for legal proceedings involving said invention and any application therefor and any Patents granted thereon, including without limitation opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions, provided, however, that the expense incurred by said Assignors in providing such cooperation shall be paid for by said Assignee.

- 3. The term and covenants of this agreement shall inure to the benefit of said Assignee, its successors, assigns and other legal representatives, and shall be binding upon said Assignors, their respective heirs, legal representatives and assigns.
- 4. Said Assignors hereby warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

IN WITNESS WHEREOF, the said Assignors have executed and delivered this instrument to said Assignee on the dates indicated below.

\_\_\_\_\_  
Feng Q LIU\* Employee No: 86656      Date: \_\_\_\_\_


\_\_\_\_\_  
Stan D TSAI\* Employee No: 73896      Date: \_\_\_\_\_

\_\_\_\_\_  
Yongqi HU\* Employee No: 87288      Date: \_\_\_\_\_

\_\_\_\_\_  
Siew S NEO\* Employee No: 74564      Date: \_\_\_\_\_

\_\_\_\_\_  
Yan WANG\* Employee No: 80254      Date: \_\_\_\_\_

\_\_\_\_\_  
Alain DUBOUST\* Employee No: 61194      Date: \_\_\_\_\_

  
\_\_\_\_\_  
Liang-Yuh CHEN\* Employee No: EXEMPT/63394      Date: 5/8/03

## Applied Materials, Inc.



## Legal Affairs

P. O. Box 450A  
Santa Clara, CA 95051  
Fax: (408) 986-3090

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**TO:** Assignment Branch

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**COMPANY:** U.S. Patent and Trademark Office

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**FAX:** (703) 306-5995

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**FROM:** Robert W. Mulcahy

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**PHONE:** (408) 563-2726

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**SUBJECT:** Assignment for Docket 5699/P1

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**DATE:**

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**PAGES:** 16 including cover sheet.

MESSAGE:

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