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

Tsutomu OGIHARA (04/06/2007), Takafumi UEDA (04/06/2007), and Motoaki IWABUCHI (04/06/2007)

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

**3. Nature of conveyance/Execution Date(s):**

Execution Date(s): in parentheses after inventor name

- ☒ Assignment ☐ Merger ☐ Change of Name  
☐ Security Agreement ☐ Joint Research Agreement  
☐ Government Interest Assignment  
☐ Executive Order 9424, Confirmatory License  
☐ Other \_\_\_\_\_

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

Name: Shin-Etsu Chemical Co., Ltd.

Internal Address: \_\_\_\_\_

Street Address: \_\_\_\_\_

6-1, Otemachi 2-chome, Chiyoda-ku  
Tokyo  
JAPAN

City: \_\_\_\_\_

State: \_\_\_\_\_

Country: \_\_\_\_\_ Zip: \_\_\_\_\_

Additional name(s) & address(es) attached? ☐ Yes ☒ No

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

A. Patent Application No.(s)

NEW

☒ This document is being filed together with a new application.

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Gerald M. Murphy, Jr.  
BIRCH, STEWART, KOLASCH & BIRCH,  
LLP

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

1

**7. Total fee (37 CFR 1.21(h) & 3.41) \$** 40.00

- ☐ Authorized to be charged by credit card  
☒ Authorized to be charged to deposit account  
☐ Enclosed  
☐ None required (government interest not affecting title)

**8. Payment information**

a. Credit Card Last 4 Numbers \_\_\_\_\_

Expiration Date \_\_\_\_\_

b. Deposit Account Number 02-2448

Authorized User Name Gerald M. Murphy, Jr.

**9. Signature:**

Gerald M. Murphy, Jr.  
Signature  
Gerald M. Murphy, Jr. - 28,97  
Name of Person Signing

AUG 3 2007

Date

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

3

## ASSIGNMENT

Application No. NEWFiled 4/10/07

Insert Name(s) of Inventor(s) ➡ WHEREAS, Tsutomu OGIHARA, Takafumi UEDA and Motoaki IWABUCHI of  
Joetsu-shi, Niigata-ken, Japan, Joetsu-shi, Niigata-ken, Japan and  
Joetsu-shi, Niigata-ken, Japan

Insert Title  
of Invention ➡

(hereinafter designated as the undersigned) has (have) invented certain new and useful improvements in \_\_\_\_\_  
Silicon-Containing Film-Forming Composition, Silicon-Containing Film,  
Silicon-Containing Film-Bearing Substrate, and Patterning Method

for which an application for Letters Patent of the United States of America has been executed by the undersigned  
(except in the case of a provisional application).

Insert Date  
of Signing of  
Application ➡

on April 6, 2007 at Shin-Etsu Chemical Co., Ltd.; and

Insert Name  
of Assignee ➡

WHEREAS, Shin-Etsu Chemical Co., Ltd.

Insert Address  
of Assignee ➡

of 6-1, Otemachi 2-chome, Chiyoda-ku, Tokyo, Japan

its heirs, successors, legal representatives and assigns (hereinafter designated as the Assignee) is desirous of  
acquiring the entire right, title and interest in and to said invention and in and to any Letters Patent(s) that  
may be granted therefor in the United States of America and

CHECK BOX  
IF APPROPRIATE ➡

☐ in any and all foreign countries.

NOW, THEREFORE, in consideration of the sum of Ten Dollars (\$10.00) to the undersigned in hand  
paid, the receipt of which is hereby acknowledged, and other good and valuable consideration, the undersigned  
has (have) sold, assigned and transferred, and by these presents does sell, assign and transfer unto said  
Assignee the full and exclusive right to the said invention in the United States of America, its territories,  
dependencies and possessions and the entire right, title and interest in and to any and all Letters Patent(s)  
which may be granted therefor in the United States of America, its territories, dependencies and possessions,  
and if the box above is designated, in any and all foreign countries;

and to any and all divisions, reissues, continuations, conversions and extensions thereof for the full term or  
terms for which the same may be granted.

The undersigned agree(s) to execute all papers necessary in connection with this application and any continuing, divisional, conversion or reissue applications thereof and also to execute separate assignments in connection with such applications as the Assignee may deem necessary or expedient.

The undersigned agree(s) to execute all papers necessary in connection with any interference which may be declared concerning this application or continuation, division, conversion or reissue thereof or Letter Patent(s) or reissue patent issued thereon and to cooperate with the Assignee in every way possible in obtaining and producing evidence and proceeding with such interference.

The undersigned agree(s) to execute all papers and documents and to perform any act which may be necessary in connection with claims or provisions of the International Convention for the Protection of Industrial Property or similar agreements.

The undersigned agree(s) to perform all affirmative acts which may be necessary to obtain a grant of a valid United States of America patent(s) or a grant of a valid United States of America and any foreign patent(s) to the Assignee and to vest all rights therein hereby conveyed to said Assignee as fully and entirely as the same would have been held by the undersigned if this Assignment and sale had not been made.

The undersigned hereby authorize(s) and request(s) the Patent and Trademark Office Officials in the United States of America and in any foreign countries to issue any and all Letters Patents resulting from said application or any continuing, divisional conversion or reissue applications thereof to the said Assignee, as Assignee of the entire interest, and hereby covenants that he has (they have) the full right to convey the entire interest herein assigned, and that he has (they have) not executed, and will not execute, any agreement in conflict herewith.

The undersigned hereby grant(s) the law firm of Birch, Stewart, Kolasch & Birch, LLP the power to insert on this Assignment any further identification which may be necessary or desirable in order to comply with the rules of the U.S. Patent and Trademark Office for recordation of this document.

The undersigned hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment.

In witness whereof, executed by the undersigned on the date(s) opposite the undersigned name(s).

Date	<u>April 6, 2007</u>	Name of Inventor	<u>Tsutomu Ogiwara</u> (signature)	<u>Tsutomu OGIHARA</u>
Date	<u>April 6, 2007</u>	Name of Inventor	<u>Takafumi Ueda</u> (signature)	<u>Takafumi UEDA</u>
Date	<u>April 6, 2007</u>	Name of Inventor	<u>Motoaki Iwabuchi</u> (signature)	<u>Motoaki IWABUCHI</u>
Date	_____	Name of Inventor	_____ (signature)	
Date	_____	Name of Inventor	_____ (signature)	
Date	_____	Name of Inventor	_____ (signature)	