

Form PTO-1595 (Rev. 07/05)
OMB No. 0851-0027 (exp. 8/30/2008)

U.S. DEPARTMENT OF COMMERCE
United States Patent and Trademark Office

RECORDATION FORM COVER SHEET PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies):

Anthony Arous (11/02/2007), Chenlan Guo
(11/02/2007), and Jeffrey C. Peterson
(11/07/2007)

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

2. Name and address of receiving party(ies)

Name: EMC Corporation

Internal Address: _____

Street Address: _____

176 South Street

City: Hopkinton

State: Massachusetts

Country: United States of America Zip: 01748

Additional name(s) & address(es) 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 _____

4. Application or patent number(s):

A. Patent Application No.(s)

11/904,892

☐ 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: Richard F. Giunta
WOLF, GREENFIELD & SACKS, P.C.

Internal Address: _____

Street Address: Federal Reserve Plaza
600 Atlantic Avenue

City: Boston

State: MA Zip: 02210-2206

Phone Number: (617) 646-8000

Fax Number: (617) 646-8646

Email Address: rgiunta@wolfgreenfield.com

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 23/2825

Authorized User Name Richard F. Giunta

9. Signature:



November 15, 2007

Date

Richard F. Giunta - 36,149

Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 6

Certificate of Transmission Under 37 CFR 1.8

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being transmitted by facsimile to the Patent and Trademark Office, facsimile no. (571) 273-0140, on the date shown below.

Dated: November 15, 2007

Signature:  (Shella F. Gravina)

PATENT

Attorney Docket No.: E0295.70330US00
EMC Docket No.: EMC-07-389

ASSIGNMENT

WHEREAS, we, Anthony Arous, Chenlan Guo and Jeffrey C. Peterson have invented an invention comprising and/or embodying certain improvements or discoveries or both as described in an application for Letters Patent of the United States entitled **HIGH-AVAILABILITY FILE ARCHIVING**, the specification of which:

- ☐ is being executed on even date herewith and is about to be filed in the United States Patent Office;
- ☒ was filed on September 28, 2007, as U.S. Application No. 11/904/892;
- ☐ was patented under U.S. Patent No. _____ on _____.

WHEREAS, EMC Corporation (hereinafter "ASSIGNEE"), a corporation organized and existing under the laws of the Commonwealth of Massachusetts and having a usual place of business at 176 South Street, Hopkinton, Massachusetts 01748 desires to acquire an interest therein in accordance with agreements duly entered into with us;

NOW, THEREFORE, to all whom it may concern be it known that for and in consideration of said agreements and of other good and valuable consideration, the receipt of which is hereby acknowledged, we have sold, assigned and transferred and by these presents do hereby sell, assign and transfer unto said ASSIGNEE, its successors, assigns and legal representatives, the entire right, title and interest in and throughout the United States of America, its territories and all foreign countries, in and to said invention as described in said application, together with the entire right, title and interest in and to said application and such Letters Patent as may issue thereon; said invention, application and Letters Patent to be held and enjoyed by said ASSIGNEE for its own use and behalf and for its successors, assigns and legal representatives, to the full end of the term for which said Letters Patent may be granted as fully and entirely as the same would have been held by us had this assignment and sale not been made; we hereby convey to ASSIGNEE all rights arising under or pursuant to any and all international agreements, treaties or laws relating to the protection of industrial property by filing any such applications for Letters Patent. We hereby acknowledge that this assignment, being of the entire right, title and interest in and to said invention, carries with it the right in ASSIGNEE to apply for and obtain from competent authorities in all countries of the world any and all Letters Patent by attorneys and agents of ASSIGNEE's selection and the right to procure the grant of all such Letters Patent to ASSIGNEE for its own name as assignee of the entire right, title and interest therein;

AND, we hereby further agree for ourselves and our executors and administrators to execute upon request any other lawful documents and likewise to perform any other lawful acts which may be deemed necessary to secure fully the aforesaid invention to said ASSIGNEE, its successors, assigns and legal representatives, but at its or their expense and charges, including the execution of applications for patents in foreign countries, and the execution of substitution, reissue, divisional or continuation applications and preliminary or other statements and the

Attorney Docket No.: E0295.70330US00
EMC Docket No.: EMC-07-389

giving of testimony in any interference or other proceeding in which said invention or any application or patent directed thereto may be involved;

AND, we do hereby authorize and request the Commissioner of Patents of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said ASSIGNEE, its successors, assigns, and legal representatives.

IN TESTIMONY WHEREOF, we have hereunto set our hands and affixed our seals as set forth below:

Date:

11/2/2007

Anthony Arous

Inventor's Signature

Print full name of first inventor:

Anthony Arous

Residence:

Worcester, MA

Citizenship:

US

Mailing Address:

40 Whisper Drive, Worcester, MA 01609

COMMONWEALTH OF MASSACHUSETTS

COUNTY OF Worcester

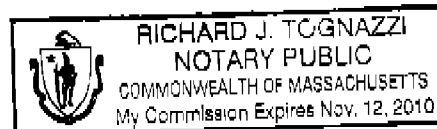
On this 2 day of November, 2007, then personally appeared before me the above-named Anthony Arous known to me through satisfactory evidence of identification ☐ employee identification card; ☒ driver's license; ☐ (other)

Anthony E. Arous to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.

Richard J. Tognazzi
Notary Public

Print Name: Richard Tognazzi

My Commission expires 11 / 12 / 2010



Attorney Docket No.: E0295.70330US00
EMC Docket No.: EMC-07-389

Date: Nov 02, 2007

Chenlan Guo

Inventor's Signature

Print full name of second inventor:

Chenlan Guo

Residence:

Rockville, MD

Citizenship:

CN

Mailing Address:

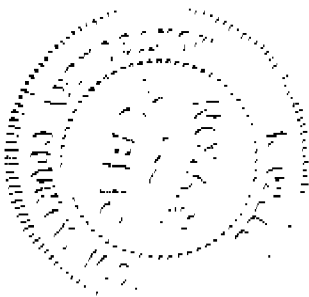
10203 Silver Bell Terrace, Rockville, MD 20850

STATE OF MARYLAND

COUNTY OF Montgomery

On this 2nd day of November, 2007, then personally appeared before me the above-named Chenlan Guo known to me through satisfactory evidence of identification [] employee identification card; [] driver's license; [] (other)

Chenlan Guo to be the person whose name is subscribed to the foregoing Assignment and acknowledged that he executed the same as his free act and deed for the purposes therein contained.




K. Odell
Notary Public

Print Name: K. Odell

My Commission expires 9/14/2010

Attorney Docket No.: E0295.70330US00
EMC Docket No.: EMC-07-389

Date:

11/7/2007
Inventor's Signature

Print full name of third inventor:

Jeffrey C. Peterson

Residence:

New Market, MD

Citizenship:

US

Mailing Address:

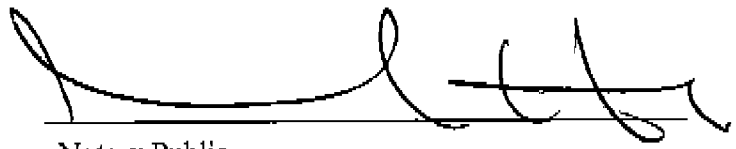
5668 Heatherfield Place, New Market, MD 21774

STATE OF MARYLAND

COUNTY OF

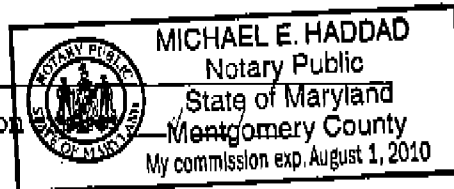
Montgomery

On this 7th day of November, 2007, then personally appeared before me the
above-named Jeffrey C. Peterson known to me through satisfactory evidence of identification
☐ employee identification card; ☒ driver's license; ☐ (other) P362 390 103 234 MD
Jeffrey Carl Peterson to be the person whose name is subscribed to the
foregoing Assignment and acknowledged that he executed the same as his free act and deed for
the purposes therein contained.


Notary Public

Print Name:

My Commission



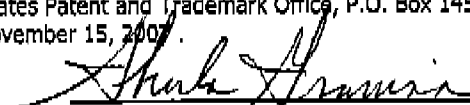
**F A X C O V E R**

*****OFFICIAL FAX*****

Date: November 15, 2007 **Number of pages (including cover):** 6
To: USPTO PTAS System
Fax No.: (571) 273-0140
Serial No.: 11/904,892-Conf. #6817
Title: HIGH-AVAILABILITY FILE ARCHIVING
From: Richard F. Giunta
Direct dial: 617.646.8322
Our File #: E0295.70330US00

CERTIFICATE OF FACSIMILE TRANSMISSION 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being transmitted via facsimile to the attention of USPTO PTAS System, FAX number (571) 273-0140, at the United States Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450, in accordance with 37 C.F.R. §1.6(d), on November 15, 2007.


Shella F. Gravina**ORIGINAL DOCUMENTS WILL NOT BE MAILED.**

MESSAGE: Transmitted herewith is/are
Assignment (4 pages)
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Charge \$40.00 to deposit account 23/2825.

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Wolf Greenfield Fax Number: 617.646.8646

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