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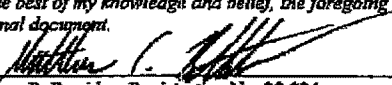
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O:WILLIAM P. BERRIDGE COMPANY:OLIFF & BERRIDGE, PLC

12/27/2010 16:45 FAX 703 836 2787

OLIFF & BERRIDGE, PLC

001

Mail Stop Assignment Recordation Services Director of the U.S. Patent and Trademark Office P.O. Box 1450 Alexandria, VA 22313-1450		RECORDED COVER SHEET PATENTS ONLY	U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office
		Attorney Docket No. 148131	
Please record the attached document.			
Total number of pages including cover sheet, attachments, and document: 4			
1. A. Name of conveying parties: [1] Tsutomu OGIHARA [2] Takeru WATANABE [3] Takeshi KINSHO [4] Katsuya TAKEMURA [5] Toshihiko FUJII [6] Daisuke KORII B. Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		2. A. Name and address of receiving party: SHIN-ETSU CHEMICAL CO., LTD. 6-1, OHTEMACHI 2-CHOME CHIYODA-KU TOKYO, JAPAN B. Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. A. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ B. Execution Date: [1-3, 5 & 6]-November 8, 2010; [4]-November 11, 2010			
4. A. Patent Application No. 2010 0978 Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		B. Patent No.	
C. Title of Application: <u>RESIST UNDERLAYER FILM-FORMING COMPOSITION, PROCESS FOR FORMING RESIST UNDERLAYER FILM AND PATTERNING PROCESS</u>			
5. Name and address of party to whom correspondence concerning document should be mailed: Name: <u>William P. Berridge</u> Address: OLIFF & BERRIDGE, PLC P.O. Box 320850 Alexandria, VA 22320-4850 Phone Number: 703-836-6400 Fax Number: 703-836-2787		6. Total number of applications and patents involved: 1 7. Please charge Deposit Account No. 15-0461 the total fee (37 CFR 3.41) in the amount of \$40.00 . 8. Credit any overpayment or charge any underpayment to deposit account number 15-0461.	
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.  Date: <u>December 27, 2010</u> William P. Berridge, Registration No. 30,024 Matthew C. Barthelow, Registration No. 60,323			

PATENT
REEL: 025763 FRAME: 0137

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OLIFF & BERRIDGE, PLC

002

Assignment

譲渡証

Japanese Language Assignment

(1-8) Insert Name(s) of Inventor(s)
 発明者の氏名を記入すること

- (1) Tsutomu Ogihara
- (2) Takeru Watanabe
- (3) Takeshi Kinsho
- (4) Katsuya Takemura
- (5) Toshihiko Fujii
- (6) Daisuke Kori
- (7) _____
- (8) _____

各々の署名人に対して支払われた総額 1 ドル (\$1.00)
 および他の適切な有価的因を考慮して、各々の署名人は

In consideration of the sum of one dollar
 (\$1.00) and other good and valuable considerations paid
 to each of the undersigned, each undersigned agrees to
 assign, and hereby does assign, transfer and set over to

(9) Insert Name of Assignee
 譲受人氏名を記入すること

- (9) SHIN-ETSU CHEMICAL CO., LTD.
- (10) Insert Address of Assignee
 譲受人住所を記入すること
- (10) 6-1, Ohtemachi 2-chome, Chiyoda-ku, Tokyo, Japan

(以降譲受人と称する)に対して、譲渡に同意し、ここに
 譲渡し、米国法第 35 章第 100 条に定義されるごとく、こ
 の発明および仮出願、非仮出願、分割出願、継続出願、
 国際出願、差替え出願、及び再発行出願、および前記発
 明に関するすべての特許証、延長証、再発行証、再審査
 証を含む特許のための全ての出願において、アメリカ合
 衆国のためのすべての権利、所有権、および利益を譲受
 人の権承人、後継者、被譲渡者、および法定代理人に發
 転および譲渡し、

(hereinafter designated as the Assignee) and Assignee's
 heirs, successors, assigns and legal representatives, the
 entire right, title and interest for the United States of
 America as defined in 35 U.S.C. §100, in the invention,
 and in all applications for patent including any and all
 provisional, non-provisional, divisional, continuation,
 international, substitute, and reissue application(s), and
 all Letters Patent, extensions, reissues and
 reexamination certificates that may be granted on the
 invention known as

(11) Insert Identifications such as Title, Case Number,
 or Foreign Application Number
 名称、案件番号、もしくは外国出願番号のよう
 な識別事項を記入のこと

- (11) Japanese Patent Application No. 2010-009412

(Attorney Docket No. 148131)
 弁護士整理番号

前記署名人が下記の日付でアメリカ合衆国において特許
 出願を履行するものであり、

for which the undersigned has (have) executed an
 application for patent in the United States of America
 on even date herewith

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OLIFF & BERRIDGE, PLC

003

or
もしくは

(12) Insert Date of Signing of Application
出願に署名する日付を記入のこと

(12) on

(13) Alternative Identification for filed applications
提出された出願のための代替識別事項

(13) U.S. application Serial Number

右記の米国出願整理番号で
filed

175,972

December 27, 2010

上記日付において提出されたものである。

1) 各々の署名人は前記発明のための出願関係および、継続出願、分割出願、再発行出願およびこの件に関する発行する特許において、必要な全ての書類を履行することに同意し、譲受人が必要と思われる、このような出願および特許に関する別途諸規定を履行することにも同意する。

2) 各々の署名人は、前記発明のための、出願もしくは継続出願、もしくはその分割出願、特許もしくはそれに基づく再発行出願に関して宣言されるインターフェレンスに関して必要な全ての書類を履行することに同意し、証拠取得およびそのようなインターフェレンスを進行するにあたり、いかなる方法においても前記譲受人と協力することに同意する。

3) 各々の署名人は、すべての用紙および書類を履行し、国際工業所有権保護協定の請求もしくは規定もしくは類似協定に関して必要ないかなる行為も履行することに同意する。

4) 各々の署名人は、前記譲受人に対して有効な米国特許の承継を取得し、維持し、もしくは再発行もしくは再審査により、譲渡するために、必要なすべての法的な行為を履行することに同意する。

5) 各々の署名人は、米国特許商標庁長官に前記出願から発生したすべての米国特許証を、余りの利益の譲受人としての前記譲受人に対して発行することを許可および請求し、ここに署名するにおいて、署名人は全ての利益を譲渡するためのすべての権利を有し、対立関係にある協定を過去に履行することなくもしくは将来履行しないことを誓約し、この協定が前記譲受人、譲受人の継承人、後継者、被譲渡者、および法定代理人に法的義務を負わせるものであることに同意する。

6) 各々の署名人は、この書類の記録上、米国特許商標庁の規定に従うために、必要もしくは所望であればこの類法証にさらに譲渡事項を記入するための権利が オリフ・ベリッジ法律事務所(Oliff & Berridge)に付与されていることをここに承認する。

1) Each undersigned agrees to execute all papers necessary in connection with any application and any continuing, divisional or reissue applications for the invention, and any patent(s) issuing thereon, and also to execute separate assignments in connection with such applications and patents as the Assignee may deem necessary.

2) Each undersigned agrees to execute all papers necessary in connection with any interference which may be declared concerning any application or continuation or division thereof, or any patent or reissue application based thereon, for the invention, and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference.

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

4) Each undersigned agrees to perform all affirmative acts which may be necessary to obtain, maintain or confirm by reissue or reexamination a grant of a valid United States patent to the Assignee.

5) Each undersigned authorizes and requests the Commissioner of the U.S. Patent and Trademark Office to issue any and all Letters Patents of the United States resulting from said application(s) to the said Assignee, as Assignee of the entire interest, and covenants that he has full right to convey the entire interest herein assigned, and that he has not executed, and will not execute, any agreements in conflict herewith, and agrees that this assignment is binding on him and his heirs, successors, assigns and legal representatives.

6) Each undersigned hereby grants the firm of Oliff & Berridge the power to insert on this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recording of this document.

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証人文も会いのもとで、署名入籍の日の日付をもってこの署名が履行される。

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

Date 日付	<u>8 November 2010</u>	Inventor Signature 発明者署名	<u>Isutamu Ogihara</u>	(SEAL 印)
Date 日付	<u>8 November 2010</u>	Inventor Signature 発明者署名	<u>Eben Watamba</u>	(SEAL 印)
Date 日付	<u>8 November 2010</u>	Inventor Signature 発明者署名	<u>Fabian Kolo</u>	(SEAL 印)
Date 日付	<u>11 November 2010</u>	Inventor Signature 発明者署名	<u>Katsuya Takemura</u>	(SEAL 印)
Date 日付	<u>8 November 2010</u>	Inventor Signature 発明者署名	<u>Yoshihiko Kuri</u>	(SEAL 印)
Date 日付	<u>5 November 2010</u>	Inventor Signature 発明者署名	<u>Daisuke Koki</u>	(SEAL 印)
Date 日付	_____	Inventor Signature 発明者署名	_____	(SEAL 印)
Date 日付	_____	Inventor Signature 発明者署名	_____	(SEAL 印)

この譲渡証は(a)アメリカ合衆国内で署名される際には公証人の面前で、(b)アメリカ合衆国外で署名される際には米領事館の面前で署名されるべきである。(a)もしくは(b)が不可能な際には、下に署名する少なくとも二人の証人の面前で署名されるべきである。

This assignment should preferably be signed before: (a) a Notary Public if within the U.S.A. (b) a U.S. Consul if outside the U.S.A. If neither, then it should be signed before at least two witnesses who also sign here:

Date 日付	_____	Witness 証人	_____
Date 日付	_____	Witness 証人	_____

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UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

JANUARY 13, 2011

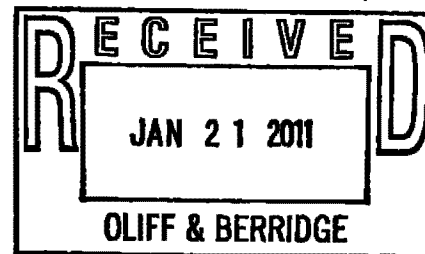
PTAS

WILLIAM P. BERRIDGE
OLIFF & BERRIDGE, PLC
P.O. BOX 320850
ALEXANDRIA, VA 22320-4850



700453129

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF NON-RECORDATION OF DOCUMENT



DOCUMENT ID NO.: 700453129

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DUE DATE
FEB 1 2 2011

THE ORIGINAL DATE OF FILING OF THIS ASSIGNMENT DOCUMENT WILL BE MAINTAINED IF RESUBMITTED WITH THE APPROPRIATE CORRECTION(S) WITHIN 30 DAYS FROM THE DATE OF THIS NOTICE AS OUTLINED UNDER 37 CFR 3.51. THE RESUBMITTED DOCUMENT MUST INCLUDE A STAMP WITH THE OFFICIAL DATE OF RECEIPT UNDER 37 CFR 3. APPLICANTS MAY USE THE CERTIFIED PROCEDURES UNDER 37 CFR 1.8 OR 1.10 FOR RESUBMISSION OF THE RETURNED PAPERS, IF THEY DESIRE TO HAVE THE BENEFIT OF THE DATE OF DEPOSIT IN THE UNITED STATES POSTAL SERVICE.

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571-272-3350.

1. A FEE WAS NOT SUBMITTED WITH THIS DOCUMENT. AUTHORIZATION TO CHARGE WAS NOT GRANTED. THE REQUIRED FEE IS \$-40.00.
2. THE DOCUMENT SUBMITTED FOR RECORDING IS UNACCEPTABLE PATENT APPLICATION NUMBER IS NOT VISIBABLE ON COVER SHEET PLEASE CLARIFY AND RESUBMIT FOR RECORDING.

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PAGE 2

TARA WASHINGTON, EXAMINER
ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Tsutomu OGIHARA et al.

Attn: **Assignment Recordation
Services**

Application No.: 12/978,978

Filed: December 27, 2010

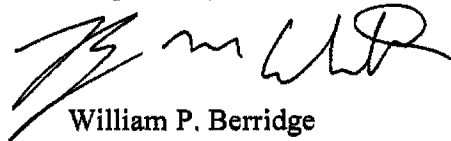
Docket No.: 148131

For: **RESIST UNDERLAYER FILM-FORMING COMPOSITION, PROCESS FOR
FORMING RESIST UNDERLAYER FILM AND PATTERNING PROCESS****RESPONSE TO NOTICE OF NON-RECORDATION OF DOCUMENT**Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In response to the Notice of Non-Recordation of Document mailed January 13, 2011 (Document ID No. 700453129), copy attached, the Assignment document and signed and dated cover sheet are attached, which correctly identifies patent application number. It is respectfully requested that the original date of filing of December 27, 2010, be maintained.

Respectfully submitted,

William P. Berridge
Registration No. 30,024Ryan M. Crockett
Registration No. 62,945

WPB:RMC/ann

Attachments:

Assignment Cover Sheet and Assignment
Notice of Non-Recordation of Document

Date: February 7, 2011

OLIFF & BERRIDGE, PLC
P.O. Box 320850
Alexandria, Virginia 22320-4850
Telephone: (703) 836-6400

DEPOSIT ACCOUNT USE AUTHORIZATION Please grant any extension necessary for entry of this filing; Charge any fee due to our Deposit Account No. 15-0461

PATENT

RECORDED: 02/07/2011

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