

05-29-1998

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**



100722005

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

*MKD 5-18-98*

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

**Submission Type**

- ☒ **New**
- ☐ **Resubmission (Non-Recordation)**  
Document ID#
- ☐ **Correction of PTO Error**  
Reel #  Frame #
- ☐ **Corrective Document**  
Reel #  Frame #

**Conveyance Type**

- ☒ **Assignment** ☐ **Security Agreement**
- ☐ **License** ☐ **Change of Name**
- ☐ **Merger** ☐ **Other**
- U.S. Government**  
(For Use ONLY by U.S. Government Agencies)
- ☐ **Departmental File** ☐ **Secret File**

**Conveying Party(ies)**

- ☒ Mark if additional names of conveying parties attached
- Execution Date  
Month Day Year  
05 14 1998

Name (line 1) Gilbreth, Mark G.

Name (line 2)

**Second Party**

Name (line 1) Dickey, James Brian.

Name (line 2)

Execution Date  
Month Day Year  
05 14 1998

**Receiving Party**

☐ Mark if additional names of receiving parties attached

Name (line 1) Capstone Turbine Corporation

Name (line 2)

Address (line 1) 18700 Oxnard Street

Address (line 2)

Address (line 3) Tarzana

CA

91356

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

Name Albert J. Miller

Address (line 1) 24441 Hillshore Drive

Address (line 2) Westport, CA 95488

Address (line 3)

Address (line 4)

**FOR OFFICE USE ONLY**

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

REF: 9189 NAME: 0322

**Correspondent Name and Address**

Area Code and Telephone Number

707-964-1154

Name Albert J. Miller

Address (line 1) 24441 Hillshore Drive

Address (line 2)

Address (line 3)

Address (line 4) Westport, CA 95488

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments.

# 2

**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)


If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year  
05 14 1998

**Patent Cooperation Treaty (PCT)**

Enter PCT application number  
only if a U.S. Application Number  
has not been assigned.

PCT  PCT  PCT   
PCT  PCT  PCT

**Number of Properties**

Enter the total number of properties involved.

# 1

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:  
Deposit Account

Enclosed ☒ Deposit Account ☐

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

#

Authorization to charge additional fees:

Yes ☐ No ☐

**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. Charges to deposit account are authorized, as indicated herein.

Albert J. Miller

Albert J. Miller

May 18, 1998

Name of Person Signing

Signature

Date

RECORDATION FORM COVER SHEET  
CONTINUATION  
PATENTS ONLY

U.S. Department of Commerce  
Patent and Trademark Office  
PATENT

**Conveying Party(ies)**

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) Gilbreth Jr., Charles R.

Execution Date  
Month Day Year

05141998

Name (line 2)

Name (line 1) Edelman, Edward C.

Execution Date  
Month Day Year

05141998

Name (line 2)

Name (line 1)

Execution Date  
Month Day Year

Name (line 2)

**Receiving Party(ies)**

☐ Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)



ASSIGNMENT OF PATENT APPLICATION

WHEREAS, Mark G. Gilbreth of 28904 Fountain Street, Agoura Hills, CA 9130, James Brian Dickey of 2024 Lost Hills Road., #2904, Agoura Hills, CA 91301, Charles R. Gilbreth Jr. of 28904 Fountain Street, Agoura Hills, CA 91301, and Edward C. Edelman of 30406 Passageway Place, Agoura Hills, CA 91301, hereinafter referred to as "ASSIGNORS", are the joint inventors of the invention described and set forth in the below identified application for United States Letters Patent:

Title of Invention: **TURBOGENERATOR/MOTOR CONTROL SYSTEM**

Date of Execution: May 14, 1998


WHEREAS, Capstone Turbine Corporation, a Delaware corporation, located at 18700 Oxnard Street, Tarzana, California 91356, hereinafter referred to as "ASSIGNEE", wants to acquire an interest in the invention and application and in any Letters Patent and Registrations which may be granted on the same;

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do hereby assign to Assignee, all right, title and interest in and to the said invention and all future improvements thereon, and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agrees that Assignors will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U. S. patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors has signed their names on the dates indicated.

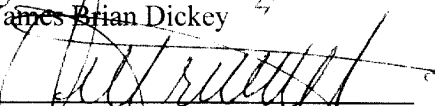
Dated: May 14, 1998

  
Mark G. Gilbreth

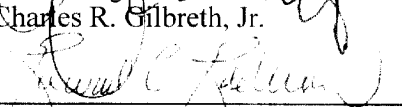
Dated: May 14, 1998

  
James Brian Dickey

Dated: May 14, 1998

  
Charles R. Gilbreth, Jr.

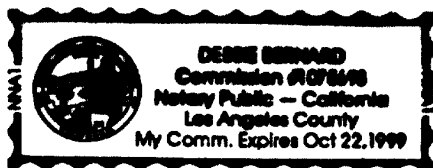
Dated: May 14, 1998


  
Edward C. Edelman

STATE OF CALIFORNIA       )  
  )   ss.  
COUNTY OF LOS ANGELES   )

On May 14, 1998, before me, Debbie Bernard, Notary Public, personally appeared Mark G. Gilbreth, James Brian Dickey, Charles R. Gilbreth, Jr., and, Edward C. Edelman, personally known to me or proved to me on the basis of satisfactory evidence to be the persons whose names are subscribed to the within instrument and acknowledged to me that they executed the same in their authorized capacities, and that by their signatures on the instrument the persons, or the entity upon behalf of which the persons acted, executed the instrument.

WITNESS my hand and official seal.



  
Signature of Notary Public