

01-26-1999



PATENT

100950338

Practitioner's Docket No. SPU 4634



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Assignments

Commissioner of Patents and Trademarks

Washington, D.C. 20231

M20  
1-15-99

NOTE: "Documents and cover sheets to be recorded should be addressed to Assistant Commissioner for Patents, Box Assignments, Washington, D.C. 20231, unless they are filed together with new applications or with a petition under § 3.81(b)." 37 CFR 3.27.

**ASSIGNMENT (DOCUMENT) COVER SHEET (37 CFR 3.31)**

NOTE: "A cover sheet may not refer to both patents and trademarks." 37 CFR 3.31(b).

Attached please find an assignment (document) for recordal.

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\***

(When using Express Mail, the Express Mail label number is **mandatory**;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

- ☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

37 C.F.R. 1.8(a)

37 C.F.R. 1.10\*

- ☒ with sufficient postage as first class mail. ☐ as "Express Mail Post Office to Addressee"  
Mailing Label No. \_\_\_\_\_ (mandatory)

**TRANSMISSION**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Date: January 12, 1999

William R. Evans

(type or print name of person certifying)

**\*WARNING:** Each paper or fee filed by "Express Mail" **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).  
"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

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(Assignment (Document) Cover Sheet—page 1 of 6)

**PATENT**  
**REEL: 9711 FRAME: 0306**

**IDENTIFICATION OF APPLICATION(S) AND/OR PATENT(S)  
FOR ASSIGNMENT (DOCUMENT) RECORDAL  
(37 CFR 3.21 and 37 CFR 3.31(a)(4))**

NOTE: See 37 CFR 3.21.

NOTE: § 3.21 does not apply to documents other than assignment. Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

This assignment is for the following patent application and/or issued patent:

National application: SN: 0 / filed on  
Provisional application: / filed on  
International application: PCT/ /  
Patent No: 4,471,333 Issued: September 11, 1984

(complete if applicable) which was previously assigned and recorded

Date February 22, 1982

Reel 3977

Frame 0915

Date June 10, 1994

Reel 7017

Frame 0351

NOTE: If an assignment of a patent application filed under § 1.53(b) is executed concurrently with, or subsequent to, the execution of the patent application, but before the patent application is filed, it must identify the patent application by its date of execution, name of each inventor, and title of the invention so that there can be no mistake as to the patent application intended. If an assignment of a provisional application under § 1.53(c) is executed before the provisional application is filed, it must identify the provisional application by name of each inventor and title of the invention so that there can be no mistake as to the provisional application intended. 37 CFR 3.21.

(also complete the following, if applicable)

☐ and also for the applications and/or patents  
shown on the attached list of FURTHER  
APPLICATION(S) and/or PATENT(S) BEING ASSIGNED

Number of pages added \_\_\_\_\_

NOTE: "Where there is a listing of properties contained within a document, any listing may be copied and attached to the cover sheet to reduce the amount of typing necessary. A notation of this attachment can be made in lieu of entering every property identification number on the cover sheet." Notice of June 24, 1992 (1140 O.G. 63-72 at 67).

**TOTAL NUMBER OF APPLICATIONS AND/OR PATENTS  
AND TOTAL FEE**

*NOTE: All requests to record documents must be accompanied by the appropriate fee; a fee is required for each application or patent against which the document is recorded as identified in the cover sheet. The recording fee is set in § 1.21(h). 37 CFR 3.41.*

2. A. The total number of applications and/or patents identified in this cover sheet is ONE.
- B. The total fee is (37 CFR 1.21(h)): 1 x \$40.00 = \$ 40.00  
Total number of applications  
and/or patents
- C. Payment of fee is made by:
- ☒ the attached check for \$ 40.00.
- ☐ Please charge Account \_\_\_\_\_  
the sum of \$ \_\_\_\_\_.  
A duplicate of this cover sheet is attached.

Please charge Account 12-0425 for any fee deficiency or credit to account any overpayment.

**NAME OF PARTY(IES) CONVEYING INTEREST**  
(37 CFR 3.31(a)(1))

*NOTE "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the documents." Notice of June 24, 1992 (1140 O.G. 63-72, at 65).*

3. The party(ies) conveying interest is (are):

Name 1: GEC Alsthom T & D AG  
Name 2:  
Name 3:

**NAME AND ADDRESS OF PARTY(IES) RECEIVING INTEREST**  
(37 CFR 3.31 (a)(2))

The rights are being conveyed to:

Name: ALSTOM AG  
Address: Carl - Sprecher-Strasse 1  
5036 Oberentfelden, Switzerland

**DESCRIPTION OF INTEREST CONVEYED OR  
TRANSACTION RECORDED (37 CFR 3.31 (a)(3))**

5. The accompanying document intends to accomplish:

- ☐ an assignment.
- ☐ a security agreement.
- ☐ a merger.
- ☐ a license.
- ☒ a change of name.
- ☐ a change of address.
- ☐ other:

**NAME AND ADDRESS OF PARTY TO WHOM  
CORRESPONDENCE SHOULD BE MAILED (37 CFR 3.31 (a)(5))**

Please address correspondence to:

Name: William R. Evans

Address: c/o Ladas & Parry  
26 West 61 Street  
New York, N.Y. 10023  
Reg. No.: 28,858

Telephone No.: (212) 708-1930

**DATE ASSIGNMENT (DOCUMENT) EXECUTED  
(37 CFR 3.31(a)(7))**

7. The attached assignment (document) was executed on November 9, 1998.  
Date

**LANGUAGE OF ASSIGNMENT (DOCUMENT) TO BE RECORDED**

*NOTE: "The Office will accept and record non-English language documents only if accompanied by an English translation signed by the individual making the translation," 37 CFR 3.26.*

8. The attached document:

- ☐ is in the English language.
- ☐ is not in the English language and an English translation signed by the individual making the translation is attached.

(Assignment (Document) Cover Sheet—page 4 of 6)

**PATENT  
REEL: 9711 FRAME: 0309**

**ORIGINAL DOCUMENT OR TRUE COPY SUBMITTED**

*NOTE: See 37 CFR 3.24.*

9. Submitted herewith is:

- ☒ the original document.  
☐ a true copy of the original document, which I certify to be a true copy.

*NOTE: "If the original [assignment] document is two-sided or the wrong size, the practitioner can comply with the requirement [set out in 37 C.F.R. § 3.24] by providing a true copy of the original document using only one side of each page on the correct size paper." Notice of June 24, 1992, 1140 O.G. 63-76, at 67.*

*NOTE: "Certification shall be made by the person submitting a copy of an original document that the document submitted is a true copy of the original. The certification is not required to be in an oath or declaration form." M.P.E.P., 6th ed., § 302.01.*

**ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF ADDRESS**

*(check item, if applicable)*

10. ☒ Because the purpose of the attached documents is to record a change of address of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

**ASSIGNMENT (DOCUMENT) TO RECORD CHANGE OF NAME**

*(check item, if applicable)*

11. ☐ Because the purpose of the attached documents is to record a change of name of the assignee, the particulars of the previously recorded assignments for each application and/or patent are shown.

**CHANGE OF PATENT MAINTENANCE FEE ADDRESS**

*(check item, if applicable)*

12. ☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent to the Office separately.

(Assignment (Document) Cover Sheet—page 5 of 6)

**PATENT**  
**REEL: 9711 FRAME: 0310**

**STATEMENT (37 CFR 3.31(a)(9)) AND  
SIGNATURE (37 CFR 3.31(a)(10))**

13. 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.

*NOTE: "The term 'party' as used in this rule [§ 3.31] means the person whose name appears on the documents to be recorded, that person's attorney or registered agent, or a corporate officer where a corporation's name appears on the document." Notice of June 24, 1992, 1140 O.G. 63-76, at 65.*

Date: \_\_\_\_\_

\_\_\_\_\_  
Name of party submitting document

\_\_\_\_\_  
Signature of party submitting document

*(complete the following, if the party submitting the document  
is applicant's attorney)*

\_\_\_\_\_  
**SIGNATURE OF PRACTITIONER**

Reg. No.:

William R. Evans, 25858, (212) 708-1930

*(type or print name of practitioner)*

Tel. No.: ( )

\_\_\_\_\_  
P.O. Address

Customer No.:

\_\_\_\_\_  
c/o Ladas & Parry  
26 West 61 Street  
New York, N.Y. 10023

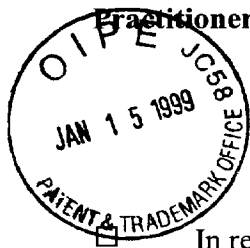
**TOTAL NUMBER OF PAGES BEING SUBMITTED**

14. The total number of pages being submitted, **including cover sheet attachment(s), and documents** are:

\_\_\_\_\_  
Total number of pages submitted

(Assignment (Document) Cover Sheet—page 6 of 6)

**PATENT  
REEL: 9711 FRAME: 0311**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

Application No.:

Filed:

For:

Group No.:

Examiner:

☒ Patent No.\*: 4,471,333Issued: September 11, 1984

*\*NOTE: Insert name(s) of inventor(s) and title also for patent. Where change is with respect to a maintenance fee payment, also insert application serial number and filing date and add Box M, Fee to address.*

**CHANGE OF NAME OF ASSIGNEE****1. Particulars of assignment**

An assignment has been recorded in the Patent and Trademark Office for this invention on

February 22, 1982 and June 10, 1994Reel 3977Reel 7017Frame 0915Frame 0351

*NOTE: When requesting correction or updating of a previously recorded assignment document, providing the reel and frame number of that document will greatly expedite the recording process. Helpful Hints published September 30, 1986, 1070 O.G. 47 to 59 at 53.*

*(if available, the PTO finds it useful if a copy of the assignment is also sent)*

☒ Copies of the recorded assignmentst are attached.**2. Old name of assignee**

The old name of the assignee shown on the above assignment is

GEC Alsthom T & D AG

*(type or print old name of Assignee)*

**3. New name of assignee**

The new name of the assignee is

ALSTOM AG

*(type or print new name of Assignee)*

(Change of Name of Assignee—page 1 of 2)

#### 4. Proof of change of name

Proof of change of name is established by the attached

☐ certificate of the Secretary of State of \_\_\_\_\_, showing the name change.  
(type name of state)

☒ certificate of name change from the following authority:

Commerical Register of the Canton Aargau

(type or print name of authority)

(check, if applicable)

☒ Because the certificate is not in the English language, it is accompanied by a verified translation signed by the translator.

#### 5. Change of patent maintenance fee address

(complete, if applicable)

☐ A change of address to which correspondence is to be sent regarding patent maintenance fees is being sent separately.

#### 6. Payment of fee

NOTE: See 37 CFR 1.21(h).

Please refer to the "ASSIGNMENT (DOCUMENT) COVER SHEET," to which this paper is attached.

  
\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

Reg. No.:

William R. Evans, 25858, (212) 708-1930

(type or print name of practitioner)

Tel. No.: ( )

\_\_\_\_\_  
P.O. Address

\_\_\_\_\_  
c/o Ladas & Parry  
26 West 61 Street  
New York, N.Y. 10023

(Change of Name of Assignee—page 2 of 2)





Re: Case SPU 4634

Commercial Register of the Canton Aargau - Main Register

Translation of Page 1

Firm No. CH-400.3.925.055-0	Legal Nature Stock Corporation	Entry 21.04.1908	Cancellation	Transfer of:400.3.925.055-0/a to:	1
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All Entries

En	Can	Firm	Ref	Residence
15		ALSTOM AG	1	Oberentfelden
15		(ALSTOM SA) (ALSTOM LTD)		

Ref	Capital Stock (CHF)	Liberation (CHF)	Stock-Split	Ref	Address of Firm
1	34,400,000.--	34,400,000.--	68,800 nominal stocks at CHF 500.--	8	Carl-Sprecher-Str.1 5036 Oberentfelden
Ref	PS-Capital (CHF)	Liberation (CHF)	Participation Certi- ficates		
6	3,784,000.--	3,784,000.--	37,840 Owners Participation Certi- ficates at CHF 100.--		

En	Can	Purpose	Ref
13		Providing market performances in the field of pro- duction, distribution and use of electric energy and all activities connected therewith, especially the manufacture and sale of electrical devices, switchboard plants and controlling means, the acquisition and sale of industrial products of the firm GEC Alsthom as well as other firms on their own account or by proxy; the company can participate in other businesses, establish branch businesses or subsidiary companies at home or abroad, combine individual or all lines of their busi- nesses into separate business companies as well as purchase and sell real estate and lodgings.	

En	Can	Remarks	Ref	Date of Statutes
1		The abstract transferred from an hitherto existing register card does not contain any facts that were cancelled prior to the transfer, and does not include eventual earlier statute dates or order book and SHAB cites. These can be seen in the Commercial Register card under "transfer of".	1	April 15, 1908; last: December 20, 1989
7		Communications to stockholders are effected by letter, telefax or telegram.	7	June 28, 1993
7		According to a measure of the statutes, transfer of no- minal stocks is limited.	8	November 24, 1993
13		Fusion: along the route of fusion according to Art.748 OR, the company takes over "GEC Alsthom Sales Network SA" in Oberentfelden. Assets of CHF 27,055,335.-- and liabilities of CHF 23,731,128.-- pass over to the company by universal succession according to the fusion contract of July 29, 1997 and the fusion balance of March 31, 1997; the company already owns all the stocks of the company that has been taken over.	13	July 29, 1997
			15	June 10, 1998

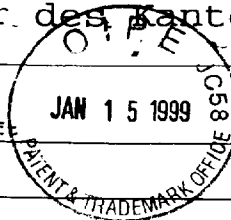
		Thereby, these stocks go out of use and the capital stock of the company taking over remains unchanged.		
En	Can	Case Enclosures, Case Negotiations, Special Advantages, Profit Certificates	Ref	Publishing Organ
			1	SHAB

Aarau, November 09, 1998

Translator's remarks: the lines crossed out were not translated.  
the abbreviation "En" stands for entry, and the  
abbreviation "Can" stands for cancellation.



# Handelsregister des Kantons Aargau - Hauptregister



Eintragungsnummer 400.3.925.055-0	Rechtsnatur Aktiengesellschaft	Eintragung 21.04.1908	Löschung	Uebertrag von: 400.3.925.055-0/a auf:	1
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Alle Eintragungen

Ei	Lö	Firma	Ref	Sitz
1		<del>Sprecher Energie AG</del>	1	Oberentfelden
1	8	<del>(Sprecher Energie SA) (Sprecher Energie Ltd)</del>		
8		<del>GEC Alsthom T&amp;D AG</del>		
8	13	<del>(GEC Alsthom T&amp;D SA) (GEC Alsthom T&amp;D Ltd)</del>		
13		<del>GEC Alsthom AG</del>		
13	15	<del>(GEC Alsthom SA) (GEC Alsthom Ltd)</del>		
15		<del>ALSTOM AG ;</del>		
15		<del>(ALSTOM SA) (ALSTOM LTD)</del>		

Ref	Aktienkapital (CHF)	Liberierung (CHF)	Aktien-Stückelung	Ref	Adresse der Firma
1	34'400'000.--	34'400'000.--	68'800 Namenaktien zu CHF 500.--	1	Kirchfeld 5
					5036 Oberentfelden
Ref	PS-Kapital (CHF)	Liberierung (CHF)	Partizipationsscheine	8	Carl-Sprecher-Strasse 1
6	3'784'000.--	3'784'000.--	37'840 Inhaber- Partizipationsscheine zu CHF 100.--		5036 Oberentfelden

Ei	Lö	Zweck	Ref
1	7	<del>Marktleistungen im Bereiche der Verteilung und der Anwendung elektrischer Energie, insbesondere Herstellung und Verkauf von elektrischen Apparaten, Schaltanlagen und Steuerungen.</del>	
7	13	<del>Erbringung von Marktleistungen im Bereiche der Verteilung und der Anwendung elektrischer Energie und alle damit zusammenhängenden Tätigkeiten, insbesondere Herstellung und Verkauf von elektrischen Apparaten, Schaltanlagen und Steuerungen, die Gesellschaft kann sich an anderen Unternehmen beteiligen, Zweigniederlassungen und Tochtergesellschaften im In- und Ausland errichten, einzelne oder alle Geschäftszweige in gesonderte Betriebsgesellschaften, insbesondere Tochtergesellschaften, zusammenfassen sowie Grundstücke und Liegenschaften erwerben und veräussern.</del>	
13		Erbringung von Marktleistungen im Bereiche der Produktion, der Verteilung und Anwendung elektrischer Energie und aller damit zusammenhängender Tätigkeiten, insbesondere Herstellung und Verkauf von elektrischen Apparaten, Schaltanlagen und Steuerungen, Erwerb und Vertrieb von industriellen Erzeugnissen des Unternehmens GEC Alsthom sowie anderer Firmen auf eigene Rechnung oder vertretungsweise; die Gesellschaft kann sich an anderen Unternehmen beteiligen, Zweigniederlassungen und Tochtergesellschaften im In- und Ausland errichten, einzelne oder alle Geschäftszweige in gesonderte Betriebsgesellschaften, insbesondere Tochtergesellschaften, zusammenfassen, sowie Grundstücke und Liegenschaften erwerben und veräussern.	

Ei	Lö	Bemerkungen	Ref	Statutendatum
1		Der von einer bisherigen Registerkarte übertragene Auszug enthält keine vor dem Uebertrag gestrichenen Tatsachen, und auch keine allfälligen früheren Statutendaten oder Tagebuch- und SHAB-Zitate. Diese können auf der im Feld "Uebertrag von" bezeichneten Handelsregisterkarte eingesehen werden.	1	15.04.1908; letztes:
7		Mitteilungen an die Aktionäre erfolgen durch Brief, Telefax oder Telegramm.	7	20.12.1989
7		Die Übertragbarkeit der Namenaktien ist nach Massgabe der Statuten beschränkt.	8	28.06.1993
13		Fusion: Die Gesellschaft übernimmt auf dem Wege der Fusion gemäss Art. 748 OR die "GEC Alsthom Sales Network SA", in Oberentfelden. Aktiven von CHF 27'055'335.-- und Passiven von CHF 23'731'128.-- gehen gemäss Fusionsvertrag vom 29.07.1997 und Fusionsbilanz per 31.03.1997 durch Universalsukzession auf die Gesellschaft über, die bereits sämtliche Aktien der übernommenen Gesellschaft besitzt. Dabei erlöschen diese Aktien und das Aktienkapital der übernehmenden Gesellschaft bleibt unverändert.	13	24.11.1993
			15	29.07.1997
				10.06.1998



Ei	Lö	Sacheinlagen, Sachübernahmen, beso Vorteile, Genussscheine	Ref	Publikationsorgan
1	7	Uebernahme infolge Fusion der Aktiven und Passiven der "Maxim AG Fabrik für thermo elektrische Apparate", in Aarau, gemäss Bilanz per 30.11.1970 (VIII-186)	1	SHAB
1	7	Beabsichtigte Sachübernahme: CHF 2'240'000.--		
1	7	Sacheinlage: CHF 3'100'000.--		

Ei	Lö	Zweigniederlassung	Ei	Lö	Zweigniederlassung	Ei	Lö	Zweigniederlassung	Ei	Lö	Zweigniederlassung

Aarau, 09.11.1998 11:13

Fortsetzung auf der folgenden Seite 2

PATENT

RECORDED: 01/15/1999

REEL: 9711 FRAME: 0316