

07-15-1999

FORM PTO-1595
1-31-92



DEPARTMENT OF COMMERCE
Patent and Trademark Office

101091106

REC 7-13-99

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):
William M. Barden
Additional Names attached: Yes No

2. Name and address of receiving party(ies):
Name: Caterpillar Inc.
Internal Address: Intellectual Property Department
Street Address: 100 N.E. Adams Street
City: Peoria State: Illinois
Zip: 61629-6490

Additional name(s) & addresses attached? Yes No

3. Nature of Conveyance:
 Assignment
 Security Agreement
 Other

Execution Date(s): 04/01/99

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

If this document is being filed together with a new application, the execution date of the application is _____.
A. Patent Application No.(s) 09/271,950, filed: March 18, 1999
B. Patent No.(s) _____
Additional numbers attached? Yes No

Title of Invention: METHOD AND APPARATUS FOR CONTROLLING A BUCKET AND THUMB OF A WORK MACHINE
Attorney Docket No.: 97-159

5. Name and address of party to whom correspondence concerning document should be mailed:
Name: Byron G. Buck II
CATERPILLAR INC.

Internal Address: Intellectual Property Dept.
Street Address: 100 N. E. Adams Street
City: Peoria State: IL
Zip: 61629-6490


6. Total number of applications and patents involved 1

7. Total fee (37 CFR §3.41) \$ 40.00
 Enclosed
 Authorized to be charged to deposit account

8. Deposit account number: 03-1129
(If charged duplicate copy attached)

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.

Byron G. Buck II  07/7/99
Name of Person Signing Signature Date

Total number of pages comprising cover sheet, attachments, and document: 2

Mail document to be recorded with required cover sheet information to:

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Washington, D.C. 20231

04-22-1999

RE

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

RECORDATION FORM COVER SHEET
PATENTS ONLY

101016762

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

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Additional Names attached: [] Yes [X] No

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- Assignment
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- Other

Execution Date(s): 04/01/99

Additional name(s) & addresses attached? [] Yes [X] No

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

If this document is being filed together with a new application, the execution date of the application is 03/17/99.

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? [] Yes [X] No

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Byron G. Buck II
Name of Person Signing


Signature

04/6/99
Date

Total number of pages comprising cover sheet, attachments, and document: [2]

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04/20/1999 JSH/BAZZ 00000001 031129 CATERPILLAR IN

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ASSIGNMENT

WHEREAS, WILLIAM M. BARDEN, residing at Raleigh, North Carolina, hereinafter referred to as ASSIGNOR, has invented a new and useful

METHOD AND APPARATUS FOR CONTROLLING A BUCKET AND THUMB OF A WORK MACHINE

for which ASSIGNOR is about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNOR on April 1, 1999; and

WHEREAS, CATERPILLAR INC., a Delaware corporation having a place of business at Peoria, State of Illinois, United States of America, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNOR from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNOR;

1. ASSIGNOR hereby sells, assigns, transfers and conveys unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNOR has the full right to do so.

2. At the request and expense of ASSIGNEE, ASSIGNOR agrees to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.

3. ASSIGNOR hereby authorizes and requests the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to CATERPILLAR INC.

4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNOR, ASSIGNOR's heirs and legal representatives.

IN TESTIMONY WHEREOF, ASSIGNOR has executed this instrument.

William M. Barden
WILLIAM M. BARDEN

1 April 1999
Date

IN WITNESS OF the execution hereof by WILLIAM M. BARDEN we have hereunto set our hands.

Allison M. Webb 4/1/99
Witness (1) (Date)

Licia J. Neptune 4/1/99
Witness (2) (Date)

Address: 204 Lopez Lane
Clayton NC 27520

Address: 303 Shady Lane Dr
Smithfield, NC 27577