

FORM PTO-1619A
Expires 06/30/99
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04-06-2000

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



101306870

**RECORDATION FORM COVER SHEET
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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

Name (line 1) Execution Date Month Day Year

Name (line 2)

Second Party

Name (line 1) Execution Date Month Day Year

Name (line 2)

Receiving Party

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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.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

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04/05/2000 DMGUYEN 00000171 110978 09470916

01 FC:581 40.00 CH

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

PATENT
REEL: 010651 FRAME: 0356

PATENT

Correspondent Name and Address

Area Code and Telephone Number (606) 223-4050

Name Warren D. Schickli

Address (line 1) King and Schickli

Address (line 2) 3070 Harrodsburg Road, Suite 210

Address (line 3)

Address (line 4) Lexington, KY 40503

Pages

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

6

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)

09/470,916

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

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 AccountEnclosed ☐Deposit Account ☒

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

Deposit Account Number:

11-0978

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.

Warren D. Schickli

Name of Person Signing

Warren D. Schickli

Signature

2/25/00

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) Neathery, James K.

Execution Date
Month Day Year

01/12/2000

Name (line 2)

Execution Date
Month Day Year

01/12/2000

Name (line 1) Ban, Heng

Name (line 2)

Execution Date
Month Day Year

01/12/2000

Name (line 1) Finseth, Dennis

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

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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)

Docket No. 434-213

ASSIGNMENT

WHEREAS, WE, JOHN M. STENCEL, of Versailles, Kentucky, JOHN L. SCHAEFER, of Lexington, Kentucky, JAMES K. NEATHERY, of Lexington, Kentucky, HENG BAN, of Lexington, Kentucky, and DENNIS FINSETH, of Pittsburgh, Pennsylvania, have made a certain new and useful invention as set forth in an application for United States Letters Patent executed by me the 17th day of December, 1999, entitled ELECTROSTATIC PARTICULATE SEPARATION SYSTEM, APPARATUS, AND RELATED METHOD, filed concurrently herewith;

AND WHEREAS, UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, a corporation of the Commonwealth of Kentucky, and having a place of business at Astecc Building, Room A144, Lexington, Kentucky 40506-0286, is desirous of acquiring the entire right, title and interest in and to said invention and in and to any and all Letters Patent of the United States and foreign countries which may be obtained therefor;

NOW, THEREFORE, for good and valuable consideration, I do hereby sell, assign, transfer and set over unto UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, its legal representatives, successors, and assigns, the entire right, title and interest in and to said invention as set forth in the above-mentioned application, and in and to any and all patents of the United States and foreign countries which may be issued for

said invention;

UPON SAID CONSIDERATIONS, I hereby agree with the said assignee that I will not execute any writing or do any act whatsoever conflicting with these presents, and that I will, at any time upon request, without further or additional consideration but at the expense of the said assignee, execute such additional assignments and other writings and do such additional acts as said assignee may deem necessary or desirable to perfect the assignee's enjoyment of this grant, and render all necessary assistance in making application for and obtaining original, divisional, reexamined, reissued, or extended Letters Patent of the United States or of any and all foreign countries on said invention, and in enforcing any rights or choses in action accruing as a result of such applications or patents, by giving testimony in any proceedings or transactions involving such applications or patents, and by executing preliminary statements and other affidavits, it being understood that the foregoing covenant and agreement shall bind, and inure to the benefit of, the assigns and legal representatives of assignor and assignee;

AND I request the Commissioner of Patents and Trademarks to issue any Letters Patent of the United States which may be issued for said invention to said UNIVERSITY OF KENTUCKY RESEARCH FOUNDATION, its legal representatives, successors or assigns, as the sole owner of the entire right, title and interest in and to said patent and the invention covered thereby.

John M. Stencel
JOHN M. STENCEL

STATE OF Kentucky)
) SS:
COUNTY OF Fayette)

On this 6th day of December, 1999 before me personally appeared John M. Stencel to me known to be the person named in and who executed the above instrument, and acknowledged to me that he executed the same for the uses and purposes therein set forth.

Kathleen Anne Kitora
NOTARY PUBLIC
9/15/2003
My commission expires

SEAL

John L. Schaefer
JOHN L. SCHAEFER

STATE OF Kentucky)
) SS:
COUNTY OF Fayette)

On this 23 day of December, 1999 before me personally appeared John L. Schaefer to me known to be the person named in and who executed the above instrument, and acknowledged to me that he executed the same for the uses and purposes therein set forth.

Samela Louise McIntosh
NOTARY PUBLIC
9/15/2003
My commission expires

SEAL

James K. Neathery
JAMES K. NEATHERY

STATE OF Kentucky)
) SS:
COUNTY OF Fayette)

On this 6 day of December, 1999 before me personally appeared James K. Neathery to me known to be the person named in and who executed the above instrument, and acknowledged to me that he executed the same for the uses and purposes therein set forth.

Tamela Louise McIntosh
NOTARY PUBLIC

SEAL

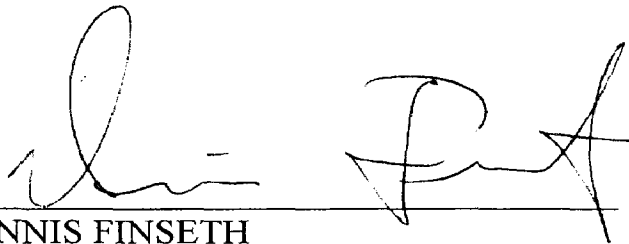
Tamela Louise McIntosh, Notary Public
My commission expires State at Large, Kentucky
My Commission Expires 9/15/2003
Heng Ban
HENG BAN

STATE OF Alabama)
) SS:
COUNTY OF Jefferson)

On this 12th day of January, ~~1999~~²⁰⁰⁰ before me personally appeared Heng Ban to me known to be the person named in and who executed the above instrument, and acknowledged to me that he executed the same for the uses and purposes therein set forth.

Anna V. Mancini
NOTARY PUBLIC
4/2/2002
My commission expires

SEAL


DENNIS FINSETH

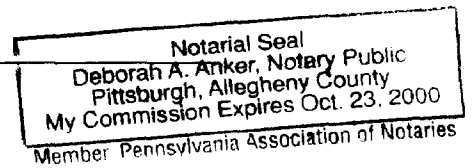
STATE OF PENNSYLVANIA)
COUNTY OF ALLEGHENY) SS:

On this 24th day of NOVEMBER, 1999 before me personally appeared Dennis Finseth to me known to be the person named in and who executed the above instrument, and acknowledged to me that he executed the same for the uses and purposes therein set forth.


NOTARY PUBLIC

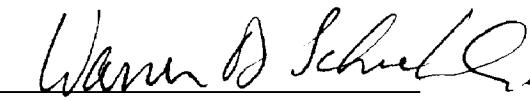
SEAL

My commission expires



This application referred to above as Docket No. 434-213, was filed in the United States Patent Office on December 23, 1999, and was given Serial No. 09/470,916

This Insertion made by me this 25TH day of February, 2000.


Warren D. Schickli