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6/29/00

FORM PTO-1619A  
Expires 06/30/99  
OMB 0651-0027

07-12-2000

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



101401818

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

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**  
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Departmental File  Secret File

1-0857 U.S. PTO  
09/606297  
06/29/00

**Conveying Party(ies)**

Mark if additional names of conveying parties attached

Name (line 1) James A. Cook Execution Date Month Day Year 06/26/2000

Name (line 2) \_\_\_\_\_

**Second Party**

Name (line 1) Brad A. Moore Execution Date Month Day Year 06/26/2000

Name (line 2) \_\_\_\_\_

**Receiving Party**

Mark if additional names of receiving parties attached

Name (line 1) Caterpillar Inc.  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.)

Name (line 2) Intellectual Property Department

Address (line 1) 100 N.E. Adams Street

Address (line 2) \_\_\_\_\_

Address (line 3) Peoria City Illinois State/Country 61629-6490 Zip Code

**Domestic Representative Name and Address**

Enter for the first Receiving Party only.

07/10/2000 0000054-031129 09/0829

02 FC:581 Name 40.00 CH

Address (line 1) \_\_\_\_\_

Address (line 2) \_\_\_\_\_

Address (line 3) \_\_\_\_\_

Address (line 4) \_\_\_\_\_

09/606297

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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

**PATENT**  
REEL: 010924 FRAME: 0432

**Correspondent Name and Address** Area Code and Telephone Number (703) 391-2510

Name Andrew M. Calderon

Address (line 1) Whitham, Curtis & Whitham, P.C.

Address (line 2) Reston International Center

Address (line 3) 11800 Sunrise Valley Drive, Suite 900

Address (line 4) Reston, Virginia 20191

**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)

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 06/26/2000

**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: Enclosed  Deposit Account

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

Deposit Account Number: # 03-1129

Docket No. 00-224

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.

Keith P. Roberson

06/29/2000

Name of Person Signing

Signature

Date

RECORDATION FORM COVER SHEET  
CONTINUATION  
PATENTS ONLY

Conveying Party(ies)

Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) Kevin R. Shaffer

Execution Date  
Month Day Year  
06/26/2000

Name (line 2)

Name (line 1) James L. Thien

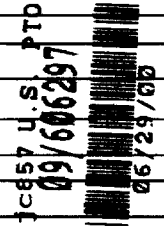
Execution Date  
Month Day Year  
06/26/2000

Name (line 2)

Name (line 1) Robert L. Walters

Execution Date  
Month Day Year  
06/26/2000

Name (line 2)



Receiving Party(ies)

Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)

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.)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Name (line 1)

Name (line 2)

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.)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

07/10/2000 TRADE1 00000054 031129 09606297  
03 FC:581 40.00 CH

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)



**Correspondent Name and Address** Area Code and Telephone Number

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

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

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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)		
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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PCT  PCT  PCT

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

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

Deposit Account Number: #

Docket No. 00-224

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.*

Keith P. Roberson

06/29/2000

Name of Person Signing

Signature

Date

## ASSIGNMENT

WHEREAS, JAMES A. COOK; BRAD A. MOORE; KEVIN R. SHAFFER; JAMES L. THIEN; AND ROBERT L. WALTERS, residing respectively at Delphi, Indiana; Frankfort, Indiana; West Lafayette, Indiana; Logansport, Indiana; and Lafayette, Indiana, hereinafter referred to as ASSIGNORS, have invented a new and useful

### PISTON RING COMPRESSOR

for which ASSIGNORS are 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 ASSIGNORS on June 26, 2000, June 26, 2000, June 26, 2000, June 26, 2000, and June 26, 2000; 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 ASSIGNORS from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNORS;

1. ASSIGNORS hereby sell, assign, transfer and convey 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 ASSIGNORS have the full right to do so.

2. At the request and expense of ASSIGNEE, ASSIGNORS agree 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. ASSIGNORS hereby authorize and request 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 ASSIGNORS, ASSIGNORS' heirs and legal representatives.

IN TESTIMONY WHEREOF, ASSIGNORS have executed this instrument.

James A Cook  
JAMES A. COOK

6/26/00  
Date

IN WITNESS OF the execution hereof by JAMES A. COOK we have hereunto set our hands.

Jim R. Hale 6/26/00  
Witness (1) Date

Mark Euston 6/26/00  
Witness (2) Date

Address: \_\_\_\_\_

Address: \_\_\_\_\_

1659 South Black Oak Ct.

8221 Grant Rd

Lafayette, IN 47905-3906

Battle Ground, IN 47920

Brad A Moore  
BRAD A. MOORE

6/26/00  
Date

IN WITNESS OF the execution hereof by BRAD A. MOORE we have hereunto set our hands.

Jim R. Hale 6/26/00  
Witness (1) Date

Mark Euston 6/26/00  
Witness (2) Date

Address: \_\_\_\_\_

Address: \_\_\_\_\_

1659 South Black Oak Ct.

8221 Grant Rd

Lafayette, IN 47905-3906

Battle Ground, IN 47920

Kevin R Shaffer  
KEVIN R. SHAFFER

6/26/00  
Date

IN WITNESS OF the execution hereof by KEVIN R. SHAFFER we have hereunto set our hands.

Jim R. Hale 6/26/00  
Witness (1) Date

Mark Euston 6/26/00  
Witness (2) Date

Address: \_\_\_\_\_

Address: \_\_\_\_\_

1659 South Black Oak Ct.

8221 Grant Rd

Lafayette, IN 47905-3906

Battle Ground, IN 47920

James L. Thien  
JAMES L. THIEN

6/26/00  
Date

IN WITNESS OF the execution hereof by JAMES L. THIEN we have hereunto set our hands.

John R. Hale 6/26/00  
Witness (1) Date

Mary Euston 6/26/00  
Witness (2) Date

Address: \_\_\_\_\_

Address: \_\_\_\_\_

1659 South Black Oak Ct.

8221 Grant Rd

Lafayette, IN 47905-3906

Battle Ground, IN 47920

Robert L. Walters  
ROBERT L. WALTERS

6/26/00  
Date

IN WITNESS OF the execution hereof by ROBERT L. WALTERS we have hereunto set our hands.

John R. Hale 6/26/00  
Witness (1) Date

Mary Euston 6/26/00  
Witness (2) Date

Address: \_\_\_\_\_

Address: \_\_\_\_\_

1659 South Black Oak Ct.

8221 Grant Rd

Lafayette, IN 47905-3906

Battle Ground, IN 47920