

09-18-2000



OMB No. 0651-0011 (exp. 4/94)

To the Honorable Commission

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ET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

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Shed original documents or copy thereof. Docket 0142

1. Name of conveying party(ies):

U.S. Bancorp Republic Commercial Finance, Inc.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☐ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name

☒ Other Assignment of Recorded Security Interest in Collateral Assignment of Patents

Execution Date: November 19, 1999

2. Name and address of receiving party(ies)

Name: U.S. Bank National Association

Internal Address: U.S. Bank Place, Fifth Floor, MPFP0512

Street Address: 601 Second Avenue South

City: Minneapolis State: Minnesota ZIP: 55402-4302

Additional name(s) & address(es) attached ☐ Yes ☒ 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: _____

A. Patent Application No.(s): 06/934,412; 08/607,871; 07/503,895; 07/501,760; 06/321,796; 07/537,871; 06/898,983; 08/642,445; and 08/642,504

B. Patent No.(s): 4,882,099; 5,078,923; 4,741,825; 4,774,031; 4,280,911; 4,806,251; 4,293,169; 4,954,295; 4,409,100; and 4,240,990

Additional numbers attached? ☒ Yes ☐ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Devan V. Padmanabhan

Internal Address: Dorsey & Whitney LLP

Street Address: 220 South Sixth Street

City: Minneapolis State: MN ZIP: 55402

6. Total Number of applications and patents involved:

19

7. Total fee (37 CFR 3.41). \$ 760.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

04-1420

(Attach duplicate copy of this page if paying by deposit account)

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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.

Devan V. Padmanabhan
Name of person Signing

Devan V. Padmanabhan
Signature

Reg. No. 38,262

Aug 24, 2000
Date

Total number of pages including cover sheet, attachments, and document:

12

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

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PATENT
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AERATION INDUSTRIES INTERNATIONAL, INC.
INTELLECTUAL PROPERTY PORTFOLIO
STATUS REPORT

EXHIBIT A

COLLATERAL ASSIGNMENT OF PATENTS

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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
	<u>PATENTS</u>			
33036/101/101	IMPROVED SEWAGE TREATMENT APPARATUS			On Hold
33036/102/101	AERATION APPARATUS HAVING A DEICING MECHANISM AND CONTROL CIRCUIT THEREFOR	275,522 4,882,099	November 23, 1988 November 21, 1989	Issued
33036/102/102	AERATION APPARATUS HAVING A DEICING MECHANISM AND CONTROL CIRCUIT THEREFOR	07/405,071 5,078,923	September 13, 1989 January 7, 1992	Issued CIP of 275,522
33036/102/202	AERATION APPARATUS HAVING A DEICING MECHANISM AND CONTROL CIRCUIT THEREFOR in Canada	614,122		Abandoned
33036/103/101	MOBILE VORTEX SHIELD	07/070,143 4,741,825	July 2, 1987 May 3, 1988	Issued Cont. of 810,172 Abandoned

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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
33036/103/201	MOBILE VORTEX SHIELD in Canada	551515 1,327,244	November 10, 1987 February 22, 1994	Patented
33036/103/211	MOBILE VORTEX SHIELD in China	86 108 102		Abandoned
33036/103/291	MOBILE VORTEX SHIELD in Germany	P 36 42 232.9	June 13, 1990	Patented
33036/103/371	MOBILE VORTEX SHIELD in Japan	1611131	June 20, 1989 (Base Date)	Patented
33036/103/601	MOBILE VORTEX SHIELD in Taiwan	UM-38607	November 16, 1987	Abandoned
33036/104/101	AERATOR	40,717 4,774,031	April 21, 1987 September 27, 1988	Closed
33036/104/351	AERATOR in Israel	73273	February 16, 1989 Base Date: 10/21/84	Patented
33036/104/352	AERATOR in Israel	85837		Abandoned
33036/104/371	AERATOR in Japan	1566150	June 25, 1990	Abandoned

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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
33036/104/372	AERATOR in Japan	158774/87	June 25, 1987	Abandoned
33036/104/501	AERATOR in Philippines	31163 23936	August 29, 1984 January 23, 1990	Patented
33036/104/521	AERATOR in S. Korea	32293	June 27, 1989 (Base Date)	Issued
33036/104/601	AERATOR in Taiwan	UM-30283		Abandoned
33036/105/101	METHOD FOR TREATING WATER	934,412	August 17, 1978	Need File
33036/105/111	METHOD FOR TREATING WATER	PCT/US79/00619		Lapsed
33036/105/201	METHOD FOR TREATING WATER in Canada	1,135,883	November 16, 1987	Patented
33036/105/291	METHOD FOR TREATING WATER in Germany	P 29 53 063.0-25		Abandoned

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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
33036/105/371	METHOD FOR TREATING WATER in Japan	54/501387 Publication No. 3-14520 Cert. No. 1,659,102	August 17, 1979 February 26, 1991 April 21, 1992	Patented
33036/105/641	METHOD FOR TREATING WATER in Great Britain	2,058,593	August 17, 1979	Abandoned
33036/105/102	METHOD FOR TREATING WATER	161,151 4,280,911	June 19, 1980 July 28, 1981	Issued
33036/106/101	TURBO ENHANCEMENT			Closed (See 123/101)
33036/107/101	DIFFUSED AIR SYSTEM	08/607,871	February 27, 1996	Pending
33036/108/101	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD	907,990 4,806,251	September 16, 1986 February 21, 1989	Issued
33036/108/191	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Brazil	PI 8704760	September 14, 1987	Abandoned

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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
33036/108/201	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Canada	551,373		Abandoned
33036/108/211	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in China	87106315		Abandoned
33036/108/251	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Ecuador	PI-89-498	June 27, 1989	Expired
33036/108/261	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in EPO	87308088.1	September 14, 1987	Abandoned
33036/108/331	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Indonesia	12360	September 16, 1987	Abandoned
33036/108/351	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Israel	83880		Abandoned

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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
33036/108/371	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Japan	231958/87		Abandoned
33036/108/401	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Malaysia	PI8701581		Abandoned
33036/108/501	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Philippines	23823	November 23, 1989	Abandoned
33036/108/521	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Korea	87-10191		Abandoned
33036/108/601	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD in Taiwan	UM-53285		Abandoned

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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
33036/108/611	OSCILLATING PROPELLER TYPE AERATOR APPARATUS AND METHOD In Thailand	005958		Abandoned
33036/109/101	AERATION APPARATUS	07/503,895	April 4, 1990	Closed
33036/110/101	SYSTEM AND METHOD FOR TREATING WATER	07/501,760	March 31, 1990	Closed
33036/111/101	METHOD FOR TREATING WASTE WATER	06/321,796	November 16, 1981	Closed
33036/112/101	WATER BEARING	87,004 4,293,169	October 22, 1979 October 6, 1981	Issued
33036/113/101	PROPELLER AERATOR WITH PERIPHERAL INJECTION OF FLUID AND METHOD OF USING THE AERATOR	257,062 4,954,295	January 12, 1989 September 4, 1990	Abandoned
33036/114/101	DISPERSED AIR FLOATATION APPARATUS AND METHOD	07/537,871	June 14, 1990	Abandoned

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 JOINT LATERAL ASSIGNMENT OF PATENTS
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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
33036/114/141	DISPERSED AIR FLOTATION APPARATUS AND METHOD in Australia	5118290	March 9, 1990	Abandoned
33036/114/261	DISPERSED AIR FLOTATION APPARATUS AND METHOD in EPO	90302403.2	March 7, 1990	Abandoned
33036/114/371	DISPERSED AIR FLOTATION APPARATUS AND METHOD in Japan	60866/90	March 12, 1990	Abandoned
33036/114/421	DISPERSED AIR FLOTATION APPARATUS AND METHOD in New Zealand	232,605	February 20, 1990	Abandoned
33036/114/521	DISPERSED AIR FLOTATION APPARATUS AND METHOD in Korea	90-3314		Abandoned
33036/114/601	DISPERSED AIR FLOTATION APPARATUS AND METHOD in Taiwan	79104823	June 13, 1990	Abandoned

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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
33036/114/611	DISPERSED AIR FLOTATION APPARATUS AND METHOD in Thailand			Not Filed
33036/115/101	AQUATIC AERATOR	303,019 4,409,100	September 17, 1981 October 11, 1983	Lapsed
33036/116/101	APPARATUS FOR MIXING GAS AND A LIQUID	898,983	April 21, 1978	Need File
33036/116/201	APPARATUS FOR MIXING GAS AND A LIQUID in Canada	1,110,786	October 13, 1981	Issued
33036/116/371	APPARATUS FOR MIXING GAS AND A LIQUID in Japan	1189456	February 13, 1984 Base Date: 4/22/83	Lapsed
33036/117/101	GRATE VORTEX SHIELD			Disclosure Only
33036/118/101	SCREEN PROTECTOR			Disclosure Only
33036/119/101	THRUST BEARING AERATOR			Disclosure Only

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<u>NRS Ref.</u>	<u>Title</u>	<u>Serial No./ Patent No.</u>	<u>Filing Date/ Issue Date</u>	<u>Status</u>
33036/120/101	AIR INTAKE ASSEMBLY			Disclosure Only
33036/121/101	AERATION PROPELLER			Disclosure Only
33036/122/101	AIR ASSIST AERATOR/MIXER	08/642,445	May 3, 1996	Pending
33036/123/101	TURBO AERATOR	08/642,504	May 3, 1996	Pending
33036/124/101	AERATION PROPELLER AND APPARATUS	30,949 4,240,990	April 10, 1979 Dec. 23, 1980	Issued Expires: 12/23/97

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**ASSIGNMENT OF RECORDED SECURITY INTEREST
IN COLLATERAL ASSIGNMENT OF PATENTS**

WHEREAS, by a Collateral Assignment of Patents dated April 18, 1997 (the "Security Agreement") Aeration Industries International, Inc. (the "Assignor") granted a security interest in the United States patents listed in Exhibit A attached hereto (the "Collateral") to Republic Acceptance Corporation, now known as U.S. Bancorp Republic Commercial Finance, Inc. ("USBRCFI"), in order to secure repayment of certain amounts then owing to UCBRCFI (the "Indebtedness").

AND WHEREAS the Security Agreement was recorded in the records of the United States Patent and Trademark Office (herein referred to as the "U.S. Patent Office") and such recordation is located on Reel/ Frame 9547/0275 on October 7, 1998, of the U.S. Patent Office.

NOW THEREFORE, to all who it concern be it known that for and in consideration received USBRCFI has assigned the Indebtedness to U.S. Bank National Association ("U.S. Bank") and USBRCFI hereby assigns all the security interests granted by the Security Agreement, being the security interest granted in respect of the patents and all other Collateral to U.S. Bank National Association.

Executed at Minneapolis, Minnesota this 19th day of November, 1999.

U.S. BANCORP REPUBLIC COMMERCIAL FINANCE, INC.

By: *Mack J. Linzmeier*
(Authorized signatory)

By: *Mack J. Linzmeier, VP*
(Please print name and title)