

FORM PTO-1619A

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PATENT

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☒ Assignment☐ Security Agreement☐ License☐ Change of Name☐ Merger☐ Other

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☐ Departmental File☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) John R. Gladden

Execution Date
Month Day Year
09/05/2000Name (line 2)

Second Party

Name (line 1) Phillip J. Houtz

Execution Date
Month Day Year
09/01/2000Name (line 2)

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) Caterpillar Inc.

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

☐ 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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PATENT
REEL: 011155 FRAME: 0403

Correspondent Name and Address

Area Code and Telephone Number (309) 675-4517

Name Alan J. Hickman

Address (line 1) Caterpillar Inc.

Address (line 2) Intellectual Property Department

Address (line 3) 100 N. E. Adams Street

Address (line 4) Peoria, IL 61629-6490

Pages

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

2

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
09/05/2000

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:
Deposit Account

Enclosed ☐

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. 99-506

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.

Alan J. Hickman

Name of Person Signing

Signature

09/21/2000

Date

ASSIGNMENT

WHEREAS, John R. Gladden and Phillip J. Houtz, residing respectively at Lafayette, Indiana and Lafayette, Indiana, hereinafter referred to as ASSIGNORS, have invented a new and useful

INTERSTAGE COOLING OF A MULTI-COMPRESSOR TURBOCHARGER

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 Sept. 5, 2000 and Sept. 1, 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.

John R. Gladden
JOHN R. GLADDEN

Sept 5, 2000
Date

IN WITNESS OF the execution hereof by JOHN R. GLADDEN we have hereunto set our hands.

Re I. Zadd 5-Sep-00
Witness (1) Date

[Signature] 5 Sep 00
Witness (2) Date

Address: 731 Clavemont Ln
Lafayette, IN 47905

Address: 5056 Madison Ridge
Lafayette In 47905

Phillip J. Houtz
PHILLIP J. HOUTZ

01 SEPT '00
Date

IN WITNESS OF the execution hereof by PHILLIP J. HOUTZ we have hereunto set our hands.

Allyn P. Bock 1 SEPT. 2000
Witness (1) Date

Rick E. Jeff 01 SEPT. 2000
Witness (2) Date

Address: 637 KENT AVE
WEST LAFAYETTE, IN
47906

Address: 2731 PORTSMOUTH CT
LAFAYETTE IN
47909