

2-5-01

03-07-2001

ocket No.: PLUG-0063-US (725)

FORM PTO-1595 (Modified)  
(Rev. 6-93)  
OM No. 0651-0011 (exp. 4/94)  
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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office



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Tab settings

10979 U.S. PTO  
09/77756  
02/06/01

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copies of them.

1. Name of conveying party(ies):  
**Arne W. Ballantine**  
**Mark R. Torpey**

Additional names(s) of conveying party(ies)  Yes  No

2. Name and address of receiving party(ies):

Name: **Plug Power, Inc.**

Address: **968 Albany-Shaker Road**

3. Nature of conveyance:

Assignment  Merger

Security Agreement  Change of Name

Other \_\_\_\_\_

Execution Date: **January 31 and February 1, 2001**

City: **Latham** State/Prov.: **NY**

Country: **U.S.A.** ZIP: **12110**

Additional name(s) & address(es)  Yes  No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: **February 1, 2001**

Patent Application No.	Filing date	B. Patent No.(s)

Additional numbers  Yes  No

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

Name: **Fred G. Pruner, Jr.**

Registration No. **40,779**

Address: **Trop, Pruner & Hu, P.C.**  
**8554 Katy Freeway, Suite 110**

City: **Houston** State/Prov.: **TX**

Country: **U.S.A.** ZIP: **77024**

6. Total number of applications and patents involved: **1**

7. Total fee (37 CFR 3.41):.....\$ **40.00**

Enclosed - Any excess or insufficiency should be credited or debited to deposit account

Authorized to be charged to deposit account

8. Deposit account number:  
**20-1504 (PLUG-0063-US)**

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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.*

**Fred G. Pruner, Jr.** \_\_\_\_\_  
Name of Person Signing

\_\_\_\_\_  
Signature

**2/05/01**  
Date

Total number of pages including cover sheet, attachments, and

## ASSIGNMENT

WHEREAS, WE, **ARNE W. BALLANTINE** and **MARK R. TORPEY**, are the sole inventors of "**GENERATOR CONTROL SYSTEM TO ACCOMMODATE A DECREASE IN A POWER GRID VOLTAGE**", application for United States Letters Patent which is executed of even date herewith; and

WHEREAS, PLUG POWER, INC., a corporation created and existing under and by virtue of the laws of the State of Delaware, is desirous of acquiring the entire right, title and interest in and to the aforesaid invention throughout the world, and all right, title and interest in, to and under any and all Letters Patent of the United States and all other countries throughout the world;

NOW, THEREFORE, for good and valuable consideration, the receipt of which is hereby acknowledged, we hereby sell, assign, transfer and set over to PLUG POWER, INC., all right, title and interest in and to the said invention throughout the world, and said application for U.S. Letters Patent, and any and all divisions, continuations, and reissues thereof, and any and all Letters Patent of the United States and foreign countries which may be granted therefor, the same to be held and enjoyed by PLUG POWER, INC. for its own use and benefit, and for the use and benefit of its successors, assigns, or other legal representatives, to the end of the term or terms for which said Letters Patent of the United States or foreign countries are or may be granted or reissued, as fully and entirely as the same would have been held and enjoyed by us if this assignment and sale had not been made.

And we hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all Letters Patent of the United States on said invention or resulting from said application and from any and all divisions, continuations, and reissues thereof, to PLUG POWER, INC., as assignee of our entire interest, and hereby covenant that we have the full right to convey the entire interest herein assigned, and that we have not executed and will not execute any agreement in conflict herewith.

And we further hereby covenant and agree that we will, at any time, upon request, execute and deliver any and all papers that may be necessary or desirable to perfect the title of said invention and to such Letters Patent as may be granted therefor, to PLUG POWER, INC., its successors, assigns, or other legal representatives and that if PLUG POWER, INC., its successors, assigns or other legal representatives shall desire to file any divisional or continuation applications or to secure a reissue of such Letters Patent, or to file a disclaimer relating thereto, will upon request, sign all papers, make all rightful oaths and do all lawful acts requisite for the filing of such divisional or continuation application, or such application for reissue and the procuring thereof, and for the filing of such disclaimer, without further compensation but at the expense of said assignee, its successors, or other legal representatives.

And we do further covenant and agree that we will, at any time upon request, communicate to PLUG POWER, INC., its successors, assigns or other legal representatives, such facts relating to said invention and Letters Patent or the file history thereof as may be known to us, and testify as to the same in any interference or other litigation when requested so to do, without further compensation but at the expense of said assignee, its successors, or other legal representatives.

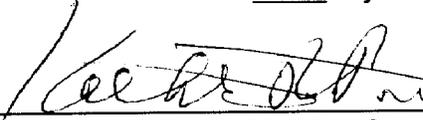
EXECUTED THIS 1<sup>st</sup> day of ~~January~~ <sup>February</sup>, 2001.

  
Name: ARNE W. BALLANTINE

STATE OF NEW YORK §  
COUNTY OF ALBANY §

BEFORE ME, the undersigned authority, on this day personally appeared AARME W/ BALLANTINE, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and consideration therein expressed.

GIVEN UNDER MY HAND and seal of office this 1<sup>st</sup> day of ~~January~~ <sup>February</sup>, 2001.

  
Notary Public in and for the State of New York

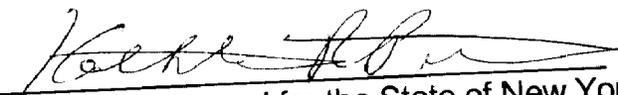
EXECUTED THIS 31<sup>st</sup> day of January, 2001.

  
Name: MARK R. TORPEY

STATE OF NEW YORK §  
COUNTY OF ALBANY §

BEFORE ME, the undersigned authority, on this day personally appeared AARME W/ BALLANTINE, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and consideration therein expressed.

GIVEN UNDER MY HAND and seal of office this 31<sup>st</sup> day of January, 2001.

  
Notary Public in and for the State of New York

KATHLEEN R. PETRUCCO  
Notary Public, State of New York  
Qualified in Schenectady County  
No. 4912848  
Commission Expires November 16, 192001