

12-28-2001
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Conveyance Type

☒ Assignment ☐ Security Agreement
☐ License ☐ Change of Name
☐ Merger ☐ Other
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☐ Departmental File ☐ Secret File

12/28/01
10/020825
12/13/01

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached
Execution Date
Month Day Year
12/12/2001

Name (line 1) Mark W. Craig

Name (line 2)

Second Party

Name (line 1) Stephan D. Roozenboom

Name (line 2)

Execution Date
Month Day Year
12/12/2001

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)

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12/27/2001 6TOM11 00000252 031129 10020825
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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: 012392 FRAME: 0967

Correspondent Name and Address

Area Code and Telephone Number (309) 675-6717

Name Byron G. Buck II

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

10/20/01
12/13/01
U.S. PTO

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)

10020825						

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
12/12/2001

Patent Cooperation Treaty (PCT)

Enter PCT application number

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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. 00-689

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.

Byron G. Buck II

Name of Person Signing

Signature

12/13/2001

Date

ASSIGNMENT

WHEREAS, Mark W. Craig and Stephan D. Roozenboom, residing respectively at Mossville, Illinois and Peoria, Illinois, hereinafter referred to as ASSIGNORS, have invented a new and useful

CATALYTIC CONVERTER ASSEMBLY

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 12/12/01 and 12/12/01; 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.

Mark W Craig
MARK W. CRAIG

12 Dec 01
Date

IN WITNESS OF the execution hereof by MARK W. CRAIG we have hereunto set our hands.

Brian Rolli 12/12/01
Witness (1) Date

Address: 3823 W. Pinckhorst
Peoria IL 61614

Tracey Luna 12/12/01
Witness (2) Date

Address: 2717 W. Rohmann
W. Peoria Ill 61604

Stephan Roozenboom
STEPHAN D. ROOZENBOOM

12/12/01
Date

IN WITNESS OF the execution hereof by STEPHAN D. ROOZENBOOM we have hereunto set our hands.

Matthew Papp 12/12/01
Witness (1) Date

Address: 14915 W. Alexis DR
Brimfield, IL 61517

C Davis Beale 12 Dec 01
Witness (2) Date

Address: 1207 E. Brookhill Rd
Peoria, Ill 61615