

04-25-2002



102067220

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

**RECORDATION FORM COVER SHEET  
PATENTS ONLY**

4-18-02

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**  
(For Use ONLY by U.S. Government Agencies)
- ☐ Departmental File ☐ Secret File

**Conveying Party(ies)**

- ☒ Mark if additional names of conveying parties attached
- Execution Date  
Month Day Year  
03/01/2002

Name (line 1) Steven J. Funke

Name (line 2)

**Second Party**

Name (line 1) Scott A. Leman

Execution Date  
Month Day Year  
03/18/2002

Name (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)

04/24/2002 DBYRNE 00000151 031129 10028848

01 FC:581

40.00 CH

FOR OFFICE USE ONLY

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: 012812 FRAME: 0390**

**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.

# 3

**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)**

10/028,848

**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

**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. 00-310

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

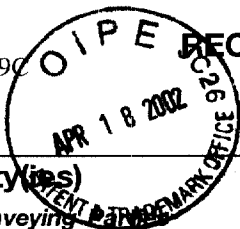
Name of Person Signing



Signature

04/09/2002

Date



**RECORDATION FORM COVER SHEET  
CONTINUATION  
PATENTS ONLY**

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

**Conveying Party(ies)**

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Execution Date  
Month Day Year

Name (line 1) Matthew G. Mickiewicz

03/25/2002

Name (line 2)

Execution Date  
Month Day Year

Name (line 1) Joshua C. Ruedin

03/01/2002

Name (line 2)

Execution Date  
Month Day Year

Name (line 1)

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)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

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.)

**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)**



## ASSIGNMENT

WHEREAS, Steven J. Funke, Scott A. Leman, Matthew G. Mickiewicz, and Joshua C. Ruedin, residing respectively at Princeville, Illinois; Eureka, Illinois; Clayton, North Carolina; and Peoria, Illinois, hereinafter referred to as ASSIGNORS, have invented a new and useful

### EXHAUST GAS RE-CIRCULATION WITH A COMPRESSION RELEASE BRAKE ACTUATOR

for which ASSIGNORS have made application for Letters Patent in the United States of America, such invention being described and identified by said application identified as Application No. 10/028,848, filed December 20, 2001; 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.

Steven J. Funke  
STEVEN J. FUNKE

3/1/02  
Date

IN WITNESS OF the execution hereof by STEVEN J. FUNKE we have hereunto set our hands.

Tyler K Anderson 3/1/02  
Witness (1) Date

Gumpred S. Gambelin 3/1/02  
Witness (2) Date

Address: 4010 N. Brandywine Dr  
Peoria, IL 61614  
#1024

Address: Apt. 613A, 2215. West Willow Knolls  
Peoria, IL - 61614.

Scott A. Leman  
SCOTT A. LEMAN

3-18-02  
Date

IN WITNESS OF the execution hereof by SCOTT A. LEMAN we have hereunto set our hands.

Laura A Kelly 3/18/01  
Witness (1) Date

Brian L. Boldt 3/18/01  
Witness (2) Date

Address: 2000 N Linden A202  
Normal, IL 61761

Address: 206 N. Adams St.  
Lanigan, Ill 61740

Matthew D. Mickiewicz  
MATTHEW G. MICKIEWICZ

3/25/02  
Date

IN WITNESS OF the execution hereof by MATTHEW G. MICKIEWICZ we have hereunto set our hands.

Satyajit Inba , 03-25-02  
Witness (1) Date

frances Kump 3/25/02  
Witness (2) Date

Address: 3101-CALLEEN DR.  
RALEIGH, NC 27606

Address: 700 DAWNWOOD CT.  
RALEIGH, NC 27609

Joshua C. Ruedin  
JOSHUA C. RUEDIN

03-01-02  
Date

IN WITNESS OF the execution hereof by JOSHUA C. RUEDIN we have hereunto set our hands.

Satish Yadav 3/1/02  
Witness (1) Date

Robert Nagy 3/1/02  
Witness (2) Date

Address: 5524 W. TIMBEREDGE DR.

Address: 1501 E Gardner Ln #409

PEORIA, IL 61615

Peoria Hts, IL 61616