

05-08-2002



2002 APR 29 PM 12:48

102082539

FINANCE SECTION RECORDATION FORM COVER SHEET
PATENTS ONLY

4-29-02

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

Name (line 1) Execution Date
Month Day Year

Name (line 2)

Second Party

Name (line 1) Execution Date
Month Day Year

Name (line 2)

Receiving Party

Mark if additional names of receiving parties attached

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

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)

FOR OFFICE USE ONLY

05/07/2002 GTDN11 00000244 031129 10036688

01 FC:581 40.00 CH

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 Practices. 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

Correspondent Name and Address

Area Code and Telephone Number (309) 675-5682

Name Robin S. Spellman

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. # 4

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)

10/036,688						

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: 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. 01-257

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.

Robin S. Spellman
Name of Person Signing

Robin S. Spellman
Signature

03/26/2002
Date

ASSIGNMENT

WHEREAS, Christopher F. Gallmeyer and L. Glenn Waterfield, residing respectively at Peoria, Illinois and Peoria, Illinois, hereinafter referred to as ASSIGNORS, have invented a new and useful

METHOD AND APPARATUS FOR RESTRAINING TEMPERATURE INDUCED DEFORMATION OF A PIEZOELECTRIC DEVICE

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. 10/036,688, filed December 21, 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.

IN TESTIMONY WHEREOF, ASSIGNORS have executed this instrument.

Christopher F. Gallmeyer
CHRISTOPHER F. GALLMEYER

3/7/02
Date

IN WITNESS OF the execution hereof by CHRISTOPHER F. GALLMEYER we have hereunto set our hands.

Troy A. Pardy 3/7/02
Witness (1) Date

Scott Keeley 3/7/02
Witness (2) Date

Address: 309 Sycamore Trail
Chillicothe, IL 61523

Address: 4056 W HOLLOW CREEK DR #809
PEORIA IL 61615

L. Glenn Waterfield
L. GLENN WATERFIELD

3-12-02
Date

IN WITNESS OF the execution hereof by L. GLENN WATERFIELD we have hereunto set our hands.

Von C... 3/12/2002
Witness (1) Date

... 3-12-02
Witness (2) Date

Address: 2979 W. Cannes Dr. Apt. 31
Peoria, IL 61615

Address: 2501 W. MOSS AVE
PEORIA, IL 61604