

06-04-2002

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RECORDATION

PATENTS

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**CORRECTED**

Attorney's Docket No. 033275-302

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Juergen BAER; and Hermann EICHIN

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name

Other: \_\_\_\_\_

Execution Date: February 12, 2002

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

Name: ALSTOM SWITZERLAND LTD.

Address: BROWN BOVERI STRASSE 7

CH-5401 BADEN

SWITZERLAND

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

09/988,308

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Robert S. Swecker

Address: BURNS, DOANE, SWECKER & MATHIS, L.L.P.

P.O. Box 1404

Alexandria, Virginia 22313-1404

6. Total number of applications and patents involved: 1

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

☒ Enclosed

☒ Authorized to be charged to deposit account, if necessary

8. Deposit account number:

02-4800

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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.

Elaine P. Spector, Reg. No. 40,116  
Name of Person Signing

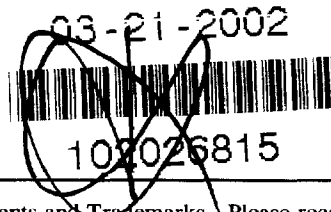
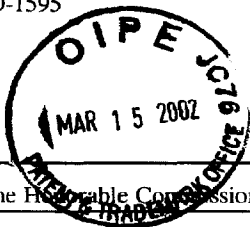
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May 31, 2002  
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HEET

Attorney's Docket No. 033275-302

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

1. Name of conveying party(ies): 3-15-02

Juergen BAER; and Hermann EICHIN

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

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☐ Security Agreement ☐ Change of Name

Other: \_\_\_\_\_

Execution Date: \_\_\_\_\_

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

Name: ALSTOM SWITZERLAND LTD.

Address: BROWN BOVERI STRASSE 7

CH-5401 BADEN

SWITZERLAND

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)

09/988,308

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

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

Name: Robert S. Swecker

Address: BURNS, DOANE, SWECKER & MATHIS, L.L.P.

P.O. Box 1404

Alexandria, Virginia 22313-1404

6. Total number of applications and patents involved: 1

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

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☒ Authorized to be charged to deposit account, if necessary

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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.

Elaine P. Spector, Reg. No. 40,116  
Name of Person Signing

Elaine P. Spector  
Signature

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# ASSIGNMENT

## (JOINT)

THIS ASSIGNMENT, by JUERGEN BAER, and HERMANN EICHIN, residing at RASEHUEBELSTRASSE 1, CH-5506 MAEGENWIL, SWITZERLAND and HERRENSTRASSE 27, D-79771 KLETTGAU, SWITZERLAND (hereinafter referred to as "the Assignors"), respectively, witnesseth:

WHEREAS, the Assignors have invented certain new and useful improvements in GAS-COOLED MACHINE, IN PARTICULAR A TURBO-GENERATOR set forth in an application for Letters Patent of the United States,

- (1) ☐ which is a provisional application  
       (a) ☐ to be filed herewith; or  
       (b) ☐ bearing Application No. \_\_\_\_\_, and filed on \_\_\_\_\_; or
- (2) ☒ which is a non-provisional application  
       (a) ☐ having an oath or declaration executed on even date herewith prior to filing of the application;  
       (b) ☒ bearing Application No. 09/988,308, and filed on NOVEMBER 19, 2001; or  
       (c) ☐ to be filed; and

WHEREAS, ALSTOM (SWITZERLAND) LTD., a corporation duly organized under and pursuant to the laws of SWITZERLAND and having a principal place of business at BROWN BOVERI STRASSE 7, CH-5401 BADEN, SWITZERLAND (hereinafter referred to as "the Assignee"), is desirous of acquiring the entire right, title, and interest in and to said inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications, including provisional applications for Letters Patent of the United States or other countries claiming priority to said application, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon.

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient consideration, the receipt of which is hereby acknowledged, the Assignors have sold, assigned, transferred, and set over, and by these presents do sell, assign, transfer, and set over, unto the Assignee, its successors, legal representatives, and assigns the entire right, title, and interest in and to the above-mentioned inventions, the right to file applications on said inventions and the entire right, title and interest in and to any applications for Letters Patent of the United States or other countries claiming priority to said applications, and any and all Letters Patent or Patents of the United States of America and all foreign countries that may be granted therefor and thereon, and in and to any and all applications claiming priority to said applications, divisions, continuations, and continuations-in-part of said applications, and reissues and extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by the Assignee, for its own use and behalf and the use and behalf of its successors, legal representatives, and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted as fully and entirely as the same would have been held and enjoyed by the Assignors had this sale and assignment not been made;

Application No.: 09/988,308  
Attorney's Docket No.: 033275-302

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns, that, at the time of execution and delivery of these presents, the Assignors are the sole and lawful owners of the entire right, title, and interest in and to the inventions set forth in said applications and said applications, including provisional applications, above-mentioned, and that the same are unencumbered, and that the Assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth;

AND for the same consideration, the Assignors hereby covenant and agree to and with the Assignee, its successors, legal representatives, and assigns that the Assignors will, whenever counsel of the Assignee, or the counsel of its successors, legal representatives, and assigns, shall advise that any proceeding in connection with said inventions or said applications for Letters Patent or Patents, or any proceeding in connection with Letters Patent or Patents for said inventions in any country, including interference proceedings, is lawful and desirable, or that any application claiming priority to said application, division, continuation, or continuation-in-part of any applications for Letters Patent or Patents, or any reissue or extension of any Letters Patent or Patents to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement, and defense of Letters Patent or Patents for said inventions, without charge to the Assignee, its successors, legal representatives, and assigns, but at the cost and expense of the Assignee, its successors, legal representatives, and assigns;

AND the Assignors hereby authorize and request the attorneys of Burns, Doane, Swecker & Mathis, L.L.P., of Alexandria, Virginia, to insert in the spaces provided above the filing date, application number, and attorney's docket number of said application when known.

AND the Assignors hereby request the Commissioner of Patents to issue any and all said Letters Patent of the United States to the Assignee as the Assignee of said inventions, the Letters Patent to be issued for the sole use and behalf of the Assignee, its successors, legal representatives, and assigns.

DATE 12.02.2002 SIGNATURE OF ASSIGNOR   
Juergen BAER

DATE 12.02.2002 SIGNATURE OF ASSIGNOR   
Hermann EICHIN