

06-10-2002



FORM PTO-1
Expires 06/30/99
OMB 0651-0027

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

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RECORDATION FORM COVER SHEET PATENTS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

New 6.4.02

Resubmission (Non-Recordation)
Document ID#

Correction of PTO Error
Reel # Frame #

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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

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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.)

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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)

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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: 012957 FRAME: 0411

Correspondent Name and Address

Area Code and Telephone Number (309) 675-5083

Name Diana L. Charlton

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)

10/082,752

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. 99-431.1

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.

Diana L. Charlton

05/22/2002

Name of Person Signing

Signature

Date

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CONTINUATION
PATENTS ONLY

Conveying Party(ies)

Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) Jeff A. Jensen

Execution Date
Month Day Year
05/03/2002

Name (line 2)

Name (line 1) Jason L. Kupferschmid

Execution Date
Month Day Year
04/12/2002

Name (line 2)

Name (line 1) Eric A. Mathewson

Execution Date
Month Day Year
05/03/2002

Name (line 2)

Receiving Party(ies)

Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)

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)

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Patent Application Number(s)

Patent Number(s)

**RECORDATION FORM COVER SHEET
CONTINUATION
PATENTS ONLY**

Conveying Party(ies)

Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Execution Date
Month Day Year

Name (line 1) Thomas E. Oertley

05/13/2002

Name (line 2)

Execution Date
Month Day Year

Name (line 1) John M. Plouzek

05/13/2002

Name (line 2)

Execution Date
Month Day Year

Name (line 1) Dennis R. Shookman

05/03/2002

Name (line 2)

Receiving Party(ies)

Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)

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Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)
City State/Country Zip Code

Name (line 1)

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Address (line 1)

Address (line 2)

Address (line 3)
City State/Country Zip Code

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, Michael S. Bottom, Thomas M. Hoefft, Jeff A. Jensen, Jason L. Kupferschmid, Eric A. Mathewson, Thomas E. Oertley, John M. Plouzek, and Dennis R. Shookman, residing respectively at Heyworth, Illinois; Dunlap, Illinois; Dunlap, Illinois; Franklin, North Carolina; Peoria, Illinois; Dunlap, Illinois; Peoria, Illinois; and Washington, Illinois, hereinafter referred to as ASSIGNORS, have invented a new and useful

JOINT ASSEMBLY TO RESIST GALLING

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. 10/082,752, filed February 25, 2002; 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.

Michael S. Bottom
MICHAEL S. BOTTOM

5/13/02
Date

IN WITNESS OF the execution hereof by MICHAEL S. BOTTOM we have hereunto set our hands.

Thomas M. Hoeffft 13 MAY 02
Witness (1) Date

Thomas C. Cady 5/13/02
Witness (2) Date

Address: 481 E TOWN HALL RD
MEAMORA, IL 61548

Address: 1528 TIMBERDALE DR.
DUNLAP, IL. 61525

Thomas M. Hoeffft
THOMAS M. HOEFFT

5/13/02
Date

IN WITNESS OF the execution hereof by THOMAS M. HOEFFT we have hereunto set our hands.

Thomas C. Cady 5/13/02
Witness (1) Date

Michael S. Bottom 5/13/02
Witness (2) Date

Address: 1528 TIMBERDALE DR.
DUNLAP, IL. 61525

Address: 208 S. Mississippi Ave
Morton, IL 61560

Jeff A. Jensen
JEFF A. JENSEN

5/3/02
Date

IN WITNESS OF the execution hereof by JEFF A. JENSEN we have hereunto set our hands.

Dennis R. Markman 3 MAY 02
Witness (1) Date

Glenn S. Stewart 5/3/02
Witness (2) Date

Address: 923 WASHINGTON
WASHINGTON, IL
61571

Address: 157 Urbandale
East Peoria, IL.
61611-2822

Jason L. Kupferschmid
JASON L. KUPFERSCHMID

4/12/02
Date

IN WITNESS OF the execution hereof by JASON L. KUPFERSCHMID we have hereunto set our hands.

Witness (1) 4/12/02
Date

Address: 235 Courtyard Way
Franklin NC 28734

Witness (2) 4/12/02
Date

Address: 199 Main Trace
Franklin NC 28734

Eric A. Mathewson
ERIC A. MATHEWSON

5-3-02
Date

IN WITNESS OF the execution hereof by ERIC A. MATHEWSON we have hereunto set our hands.

Witness (1) 5-3-02
Date

Address: RR1 Box 121
Wyoming IL 61491

Witness (2) 5-3-02
Date

Address: 200 Cahokia Ct.
Spokane, ID 61565

Thomas E. Oertley
THOMAS E. OERTLEY

5/13/02
Date

IN WITNESS OF the execution hereof by THOMAS E. OERTLEY we have hereunto set our hands.

Witness (1) 13/MAY/02
Date

Address: 481 E TOWN HALL ROAD
METAMORA, IL 61548

Witness (2) 5/13/02
Date

Address: 208 S Mississippi Ave
Morton, IL 61550

John M. Plouzek
JOHN M. PLOUZEK

13 May 2002
Date

IN WITNESS OF the execution hereof by JOHN M. PLOUZEK we have hereunto set our hands.

Thomas O'Leary 5/13/02
Witness (1) Date

Mike Poremski 5/13/02
Witness (2) Date

Address: 1528 TIMBERDALE DR.
DUNLAP, IL 61525

Address: 22608 N. Main St.
Montom, Il 61550

Dennis R. Shookman
DENNIS R. SHOOKMAN

3 MAY 02
Date

IN WITNESS OF the execution hereof by DENNIS R. SHOOKMAN we have hereunto set our hands.

Jeff Klaus Jensen 5/3/02
Witness (1) Date

Glenn J. Stewart 5/3/02
Witness (2) Date

Address: 400 French Dr.
Dunlap, IL 61525

Address: 157 Urbandale
East Peoria, IL
61611-2822