

RE

06-27-2002
102137658

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

ET

Attorney's Docket No. 033275-002

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

1. Name of conveying party(ies):

ALSTOM Power N.V.

6-21-02

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

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name

Other: _____

Execution Date: May 28, 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)

See Appendix A

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: 29

7. Total fee (37 CFR § 3.41): \$ 1,160.00

☒ Enclosed

☒ Authorized to be charged to deposit account, if necessary

8. Deposit account number:

02-4800

DO NOT USE THIS SPACE

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.

Robert S. Swecker (Reg. No. 19,885)
Name of Person Signing

Signature

June 21, 2002
Date

Total number of pages including cover sheet, attachments, and document: 5

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks
Box Assignments
Washington, D.C. 20231

06/26/2002 TDIAZ1 00000039 09087009

01 FC:581

1160.00 00

APPENDIX A

1. U.S. Pat. Appln. Ser. No. 09/887,009 filed June 25, 2001 (our ref 00/117 US)
2. U.S. Pat. Appln. Ser. No. 09/897,478 filed July 3, 2001 (our ref 00/125 US)
3. U.S. Pat. Appln. Ser. No. 09/899,160 filed July 6, 2001 (our ref 00/126 US)
4. U.S. Pat. Appln. Ser. No. 09/900,943 filed July 10, 2001 (our ref 00/127 US)
5. U.S. Pat. Appln. Ser. No. 09/921,587 filed August 6, 2001 (our ref 00/152 US)
6. U.S. Pat. Appln. Ser. No. 09/897,477 filed July 3, 2001 (our ref 00/154 US)
7. U.S. Pat. Appln. Ser. No. 09/917,906 filed July 31, 2001 (our ref 00/157 US)
8. U.S. Pat. Appln. Ser. No. 09/932,092 filed August 20, 2001 (our ref 00/160 US)
9. U.S. Pat. Appln. Ser. No. 09/932,094 filed August 20, 2001 (our ref 00/163 US)
10. U.S. Pat. Appln. Ser. No. 09/969,769 filed October 4, 2001 (our ref 00/190 US)
11. U.S. Pat. Appln. Ser. No. 09/969,026 filed October 3, 2001 (our ref 00/192 US)
12. U.S. Pat. Appln. Ser. No. 09/970,776 filed October 5, 2001 (our ref 00/195 US)
13. U.S. Pat. Appln. Ser. No. 09/973,868 filed October 11, 2001 (our ref 00/201 US)
14. U.S. Pat. Appln. Ser. No. 09/977,295 filed October 16, 2001 (our ref 00/203 US)
15. U.S. Pat. Appln. Ser. No. 09/977,195 filed October 16, 2001 (our ref 00/205 US)
16. U.S. Pat. Appln. Ser. No. 09/984,204 filed October 29, 2001 (our ref 00/217 US)
17. U.S. Pat. Appln. Ser. No. 09/949,636 filed September 12, 2001 (our ref 00/220 US)
18. U.S. Pat. Appln. Ser. No. 09/984,613 filed October 30, 2001 (our ref 00/222 US)
19. U.S. Pat. Appln. Ser. No. 09/988,313 filed November 19, 2001 (our ref 00/230 US)
20. U.S. Pat. Appln. Ser. No. 09/996,906 filed November 30, 2001 (our ref 00/233 US)
21. U.S. Pat. Appln. Ser. No. 09/993,676 filed November 27, 2001 (our ref 00/235 US)
22. U.S. Pat. Appln. Ser. No. 09/975,325 filed October 12, 2001 (our ref 01/016 US)

23. U.S. Pat. Appln. Ser. No. 09/975,307 filed October 12, 2001 (our ref 01/017 US)
24. U.S. Pat. Appln. Ser. No. 09/976,041 filed October 15, 2001 (our ref 01/028 US)
25. U.S. Pat. Appln. Ser. No. 09/843,836 filed April 30, 2001 (our ref 01/029 US)
26. U.S. Pat. Appln. Ser. No. 09/877,073 filed June 11, 2001 (our ref 01/066 US)
27. U.S. Pat. Appln. Ser. No. 09/877,083 filed June 11, 2001 (our ref 01/067 US)
28. U.S. Pat. Appln. Ser. No. 09/877,042 filed June 11, 2001 (our ref 01/068 US)
29. U.S. Pat. Appln. Ser. No. 09/884,018 filed June 20, 2001 (our ref 01/069 US)

ASSIGNMENT

THIS ASSIGNMENT is effective as of the first day of November, 2000.

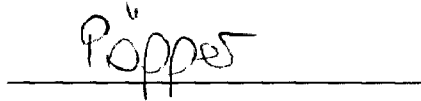
WHEREAS, ALSTOM Power N.V., a joint stock company of the Netherlands, having its principal place of business at Hullenbergweg 393 – 395, NL-1101 CS Amsterdam, The Netherlands, is the record owner of pending United States Patent Applications listed in Appendix A attached; and

WHEREAS, certain assets including U.S. Patent Applications in Appendix A were duly assigned and transferred by the said ALSTOM Power N.V. to ALSTOM (Switzerland) Ltd, a Swiss corporation, having its principal place of business at Brown Boveri Strasse 7, CH-5401 Baden, Switzerland; and

WHEREAS, the parties desire to record this instrument in the United States Patent and Trademark Office attesting to the assignment of said applications for Letters Patent;

NOW, THEREFORE, for good and valuable consideration, the sufficiency and receipt of which is hereby acknowledged, ALSTOM Power N.V. acknowledges that it has sold, assigned and transferred, nunc pro tunc as of November 1, 2000, to ALSTOM (Switzerland) Ltd the entire right, title and interest in and to the said Patent Applications, including any reissues, reexamined patents, continuations and divisions of said Patent Applications, said Patent Applications to be held and enjoyed by ALSTOM (Switzerland) Ltd for its own use and for the use of its legal representatives, successors and assigns, to

the full end of the term for which the said Patent Applications are granted, as fully and entirely as the same would have been held by ALSTOM Power N.V. had this assignment not been made, together with all claims for past infringement of said Patent Applications and with the right to sue for and to collect damages for such infringement.

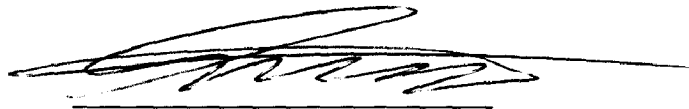
A handwritten signature in black ink, appearing to read "Pöpper", written over a horizontal line.

Date: May 28, 2002

Name: Evamarie Pöpper

Title: Authorized Representative

Company: ALSTOM Power N.V.

A handwritten signature in black ink, appearing to read "R. Liebe", written over a horizontal line.

Date: May 28, 2002

Name: Rainer Liebe

Title: Authorized Representative

Company: ALSTOM Power N.V.