

08-05-2004

U.S. Department of Commerce
Patent and Trademark Office
Attorney Docket No. 08350.3585
Attorney Customer Number: 22,852



102806980

To the Director of the U.S. Patent
Please record the attached origi

Mail Stop Assignment Recordation Services

1. Name of conveying party(ies):
1.) Joanna Louise Costura 2.) Matthew E. Williams
3.) Matthew T. Kiser 4.) Cornelius N. Opris
5.) Dave Michael Thaler 6.) Amy Fluharty

Name and address of receiving party(ies):

Name: Caterpillar, Inc.

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

Internal Address: Intellectual Property Department

3. Nature of conveyance:

7-29-04

Street Address: 100 N.E. Adams Street

☒ Assignment

☐ Merger

City: Peoria

☐ Security Agreement

☐ Change of Name

State: IL Zip Code: 61629-6490

☐ Other:

Additional name(s) & Address(es) attached?

Execution Date: 1.) July 26, 2004, 2.) July 27, 2004, 3.) July 23, 2004, 4.) July 23, 2004, 5.) July 23, 2004 and 6.) July 23, 2004

☐ 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: 1.) July 26, 2004, 2.) July 27, 2004, 3.) July 23, 2004, 4.) July 23, 2004, 5.) July 23, 2004 and 6.) July 23, 2004

A. Patent Application Number(s):

B. Patent Number(s):

10/901351

Additional numbers attached?

☐ Yes

☒ No

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

Name:

6. Total number of applications and registrations involved:
1

7. Total fee (37 CFR 3.41): \$40

☒ Enclosed (Please charge deficiency to deposit account)

☐ Authorized to be charged to deposit account

Internal Address: FINNEGAN, HENDERSON, FARABOW, GARRETT & DUNNER, L.L.P.

Street Address: 1300 I Street, N.W.

City: Washington, D.C.

State: Zip: 20005-3315

8. Deposit Account No.: 06-0916

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.

Ryan C. Stockett
Reg. No. 53,642

Ryan C. Stockett
Signature

July 29, 2004

Date

Total number of pages including cover sheet, attachments and documents: 13

ASSIGNMENT

WHEREAS We, the below named inventors, [hereinafter referred to as Assignors], have made an invention entitled:

PARTICULATE TRAP FILTER ELEMENT

for which We executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on _____, 2004 (Serial No. _____); and

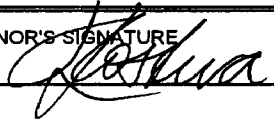
WHEREAS, Caterpillar Inc., a corporation of Delaware whose post office address is **Intellectual Property Department, 100 N.E. Adams Street, Peoria, IL 61629-6490** (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that for and in consideration of the sum of One Dollar (\$1.00) in hand paid and other good and valuable consideration the receipt of which from Assignee is hereby acknowledged, We, as Assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention, provisional application Serial No. _____, filed _____ (if any), and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of the above provisional application (if any), as well as all rights to claim priority on the basis of this application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and We hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY covenant that We have the full right to convey the interest assigned by this Assignment, and We have not executed and will not execute any agreement in conflict with this Assignment;

AND, WE HEREBY further covenant and agree that I/We will, without further consideration, communicate with Assignee, its successors and assigns, any facts known to us respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I/We have hereunto set our hands.

1. FULL NAME OF SOLE OR FIRST ASSIGNOR Joanna Louise Costura	ASSIGNOR'S SIGNATURE 	DATE 26 July 04
ADDRESS 9903 N. Barbados Drive, Peoria, IL 61615		CITIZENSHIP British

Listing of Inventors Continued on Page 2 hereof ☒ Yes ☐ No

1. WITNESS NAME Dave Thaler	WITNESS SIGNATURE <i>Dave Thaler</i>	DATE 7/26/04
ADDRESS PO Box 301 Morrisville IL 61552		CITIZENSHIP USA

2. WITNESS NAME JESSICA CROMPTON	WITNESS SIGNATURE <i>Jessica Crompton</i>	DATE 7/26/04
ADDRESS 452 N BAUMAN AVE, MORTON IL 61550		CITIZENSHIP USA

2. FULL NAME OF SECOND ASSIGNOR, IF ANY Matthew E. Williams	ASSIGNOR'S SIGNATURE	DATE
ADDRESS 209 Juniper Lane, East Peoria, IL 61611		CITIZENSHIP U.S.A.

1. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

2. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

3. FULL NAME OF THIRD ASSIGNOR, IF ANY Matthew T. Kiser	ASSIGNOR'S SIGNATURE <i>Matthew T. Kiser</i>	DATE 7/27/04
ADDRESS 20902 N. Deerbluff Drive, Chillicothe, IL 61523		CITIZENSHIP U.S.A.

1. WITNESS NAME Dave Thaler	WITNESS SIGNATURE <i>Dave Thaler</i>	DATE 7/23/04
ADDRESS PO BOX 301 Mossville IL 61552		CITIZENSHIP USA

2. WITNESS NAME MARK S. GEISLER	WITNESS SIGNATURE <i>Mark S. Geissler</i>	DATE 7/23/04
ADDRESS 300 Parkway Ln., Pekin, IL 61554		CITIZENSHIP USA

4. FULL NAME OF FOURTH ASSIGNOR, IF ANY Cornelius N. Opris	ASSIGNOR'S SIGNATURE <i>Cornelius N. Opris</i>	DATE 7/23/2004
ADDRESS 5946 W. Ridgewest Circle, Peoria, IL 61615		CITIZENSHIP Denmark

1. WITNESS NAME MARI Lou BALMER-MILLAR	WITNESS SIGNATURE <i>Mari Lou Balmer-Millar</i>	DATE 7-23-04
ADDRESS 2211 E. Truitt Road, Chillicothe, IL 61523		CITIZENSHIP USA

2. WITNESS NAME David J Kapparos	WITNESS SIGNATURE <i>David J Kapparos</i>	DATE 7-23-04
ADDRESS 213 N Louise St. Chillicothe, IL 61523		CITIZENSHIP USA

5. FULL NAME OF FIFTH ASSIGNOR, IF ANY Dave Michael Thaler	ASSIGNOR'S SIGNATURE <i>Dave Thaler</i>	DATE 7/23/04
ADDRESS P.O. Box 301, Mossville, IL 61552		CITIZENSHIP U.S.A.

1. WITNESS NAME <i>Corneilus Davis</i>	WITNESS SIGNATURE <i>Corneilus Davis</i>	DATE 7/23/2004
ADDRESS 5946 W. Delcrest Ct Peoria, IL 61615		CITIZENSHIP American

2. WITNESS NAME David J Kappanos	WITNESS SIGNATURE <i>David J Kappanos</i>	DATE 7/23/04
ADDRESS 213 N Louise St. Chillicothe, IL 61523		CITIZENSHIP USA

6. FULL NAME OF SIXTH ASSIGNOR, IF ANY Amy Fluharty	ASSIGNOR'S SIGNATURE	DATE
ADDRESS 518 W. Hanssfer Place, Peoria, IL 61604		CITIZENSHIP U.S.A.

1. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

2. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

SOLE/JOINT INVENTION
(Worldwide Rights)
Attorney Docket No. 08360.3585
Client Ref. No. 03-585

ASSIGNMENT

WHEREAS We, the below named Inventors, [hereinafter referred to as Assignors], have made an invention entitled:

PARTICULATE TRAP FILTER ELEMENT

for which We executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on _____, 2004 (Serial No. _____); and

WHEREAS, Caterpillar Inc., a corporation of Delaware whose post office address is Intellectual Property Department, 100 N.E. Adams Street, Peoria, IL 61629-6490 (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that for and in consideration of the sum of One Dollar (\$1.00) in hand paid and other good and valuable consideration the receipt of which from Assignee is hereby acknowledged, We, as Assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention, provisional application Serial No. _____, filed _____ (if any), and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of the above provisional application (if any), as well as all rights to claim priority on the basis of this application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and We hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, WE HEREBY covenant that We have the full right to convey the interest assigned by this Assignment, and We have not executed and will not execute any agreement in conflict with this Assignment;

AND, WE HEREBY further covenant and agree that I/We will, without further consideration, communicate with Assignee, its successors and assigns, any facts known to us respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns.

IN TESTIMONY WHEREOF, I/We have hereunto set our hands.

1. FULL NAME OF SOLE OR FIRST ASSIGNOR Joanna Louise Costura	ASSIGNOR'S SIGNATURE	DATE
ADDRESS 9903 N. Barbados Drive, Peoria, IL 61615		CITIZENSHIP British

Listing of Inventors Continued on Page 2 hereof ☒ Yes ☐ No

SOLE/JOINT INVENTION
(Worldwide Rights)
Attorney Docket No. 08350.3585
Client Ref. No. 03-585

1. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

2. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

2. FULL NAME OF SECOND ASSIGNOR, IF ANY Matthew E. Williams	ASSIGNOR'S SIGNATURE <i>Matthew E. Williams</i>	DATE 7/27/04
ADDRESS 209 Juniper Lane, East Peoria, IL 61611		CITIZENSHIP U.S.A.

1. WITNESS NAME <i>Ronald W. Kibler</i>	WITNESS SIGNATURE <i>Ronald W. Kibler</i>	DATE 7/27/04
ADDRESS <i>15125 N. Old Galena, Chillicothe, IL 61523</i>		CITIZENSHIP US

2. WITNESS NAME <i>Robert W. Lucas</i>	WITNESS SIGNATURE <i>Robert W. Lucas</i>	DATE 7/27/04
ADDRESS <i>6 Ladd Lane Spring Valley IL 61262</i>		CITIZENSHIP US

SOLE/JOINT INVENTION
(Worldwide Rights)
Attorney Docket No. 08350.3585
Client Ref. No. 03-585

3. FULL NAME OF THIRD ASSIGNOR, IF ANY Matthew T. Kiser	ASSIGNOR'S SIGNATURE	DATE
ADDRESS 20902 N. Deerbluff Drive, Chilikotha, IL 61523		CITIZENSHIP U.S.A.

1. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

2. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

4. FULL NAME OF FOURTH ASSIGNOR, IF ANY Cornelius N. Oppia	ASSIGNOR'S SIGNATURE	DATE
ADDRESS 5946 W. Ridgewest Circle, Peoria, IL 61615		CITIZENSHIP U.S.A.

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(Worldwide Rights)
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Client Ref. No. 03-585

5. FULL NAME OF FIFTH ASSIGNOR, IF ANY Dave Michael Thaler	ASSIGNOR'S SIGNATURE	DATE
ADDRESS P.O. Box 301, Mossville, IL 61552		CITIZENSHIP U.S.A.

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ADDRESS		CITIZENSHIP

6. FULL NAME OF SIXTH ASSIGNOR, IF ANY Amy Fluharty	ASSIGNOR'S SIGNATURE	DATE
ADDRESS 618 W. Hanseler Place, Peoria, IL 61604		CITIZENSHIP U.S.A.

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for which We executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on _____, 2004 (Serial No. _____); and

WHEREAS, **Caterpillar Inc.**, a corporation of **Delaware** whose post office address is **Intellectual Property Department, 100 N.E. Adams Street, Peoria, IL 61629-6490** (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that for and in consideration of the sum of One Dollar (\$1.00) in hand paid and other good and valuable consideration the receipt of which from Assignee is hereby acknowledged, We, as Assignors, have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, our entire right, title, and interest in and to this invention, provisional application Serial No. _____, filed _____ (if any), and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of the above provisional application (if any), as well as all rights to claim priority on the basis of this application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and We hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

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1. FULL NAME OF SOLE OR FIRST ASSIGNOR Joanna Louise Costura	ASSIGNOR'S SIGNATURE	DATE
ADDRESS 9903 N. Barbados Drive, Peoria, IL 61615		CITIZENSHIP British

Listing of Inventors Continued on Page 2 hereof ☒ Yes ☐ No

1. WITNESS NAME	WITNESS SIGNATURE	DATE
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ADDRESS		CITIZENSHIP

2. FULL NAME OF SECOND ASSIGNOR, IF ANY Matthew E. Williams	ASSIGNOR'S SIGNATURE	DATE
ADDRESS 209 Juniper Lane, East Peoria, IL 61611		CITIZENSHIP U.S.A.

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SOLE/JOINT INVENTION
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Attorney Docket No. 08350.3585
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5. FULL NAME OF FIFTH ASSIGNOR, IF ANY Dave Michael Thaler	ASSIGNOR'S SIGNATURE	DATE
ADDRESS P.O. Box 301, Mossville, IL 61552		CITIZENSHIP U.S.A.

1. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

2. WITNESS NAME	WITNESS SIGNATURE	DATE
ADDRESS		CITIZENSHIP

6. FULL NAME OF SIXTH ASSIGNOR, IF ANY Amy Fluharty	ASSIGNOR'S SIGNATURE <i>Amy Fluharty</i>	DATE 7-23-04
ADDRESS 518 W. Hanssler Place, Peoria, IL 61604		CITIZENSHIP U.S.A.

1. WITNESS NAME Kristin Schipull	WITNESS SIGNATURE <i>Kristin Schipull</i>	DATE 7-23-04
ADDRESS 4560 Orchid Avenue, Northwood, IA 50459		CITIZENSHIP U.S.A.

2. WITNESS NAME Jill Akers	WITNESS SIGNATURE <i>Jill Akers</i>	DATE 7/23/04
ADDRESS 527 E. Jefferson, Morton, IL 61550		CITIZENSHIP U.S.A.