

03-11-2005

U.S. DEPARTMENT OF COMMERCE
United States Patent and Trademark Office

RE:



102957217
PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

1. Name of conveying party(ies)/Execution Date(s):

Eugene A. Smith
Steven Andrew Kellner
Glen Paul Peltonen
Brian Lee Staton

Execution Date(s) 2-18-2005 and 2-21-2005

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

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Government Interest Assignment
☐ Executive Order 9424, Confirmatory License
☐ Other

2. Name and address of receiving party(ies)

Name: General Electric Company

Internal Address: _____

Street Address: One River Road

City: Schenectady

State: New York

Country: U.S.A. Zip: 12301

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

4. Application or patent number(s):

☒ This document is being filed together with a new application.

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☐ No

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

Name: William David Sartor

Internal Address: _____

Beusse Brownlee Wolter Mora & Maire, P.A.

Street Address: 390 North Orange Avenue
Suite 2500

City: Orlando

State: FL Zip: 32801

Phone Number: 407-926-7724

Fax Number: 407-926-7720

Email Address: dsartor@iplawfl.com

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 1.21(h) & 3.41) \$ 40.00

- ☐ Authorized to be charged by credit card
☒ Authorized to be charged to deposit account
☐ Enclosed
☐ None required (government interest not affecting title)

8. Payment Information

a. Credit Card Last 4 Numbers _____
Expiration Date _____

b. Deposit Account Number 07-0846

Authorized User Name _____

9. Signature:

Signature

William David Sartor

Name of Person Signing

2/25/05
Date

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

6

Documents to be recorded (including cover sheet) should be faxed to (703) 306-5995, or mailed to:
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

03/09/2005 DBYRNE

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40.00 DA

PATENT
REEL: 016341 FRAME: 0228

ASSIGNMENT

WHEREAS, We EUGENE A. SMITH, a citizen of the United States, residing at 410 Atlantis Drive, Melbourne, Florida 32937, and STEVEN ANDREW KELLNER, a citizen of the United States, residing at 901 Whisperoak Drive, Melbourne, Florida 32901, and GLEN PAUL PELTONEN, a citizen of Canada, 1549 Las Palmos Drive SW, Palm Bay, Florida 32908, and BRIAN LEE STATON, a citizen of the United States, residing at 930 Peacock Avenue, N.E., Palm Bay, Florida 32907, have invented an improvement in GRADUATED TRAIN BRAKING, [attorney docket number 153887-2(397)] and has executed simultaneously herewith an application for a United States patent based thereon.

AND, WHEREAS, GENERAL ELECTRIC COMPANY of One River Road, Schenectady, New York 12301, a corporation of the State of New York (hereinafter referred to as "ASSIGNEE"), is desirous of acquiring certain rights thereunder;

NOW, THEREFORE, for one dollar and other good and valuable consideration, receipt of all of which is hereby acknowledged, we have agreed to and do hereby sell, assign and transfer unto said ASSIGNEE the entire right, title and interest in and throughout the United States of America (including its territories and dependencies) and all countries foreign thereto in and to said invention, said United States application, any other United States applications (including provisional, non-provisional, divisional, continuing, or reissue applications including United States provisional application 60/588,094 filed on July 15, 2004) based in whole or in part on said United States application or in whole or in part on said invention, any foreign applications based in whole or in part on any of the aforesaid United States applications or in whole or in part on said invention, and any and all patents (including extensions thereof) of any country which have been or may be granted on any of the aforesaid applications or on said invention or any part thereof;

TO BE HELD AND ENJOYED by said ASSIGNEE, its successors and assigns, as fully and entirely as the same would have been held and enjoyed by us had no sale and assignment of said interest been made;

AND We hereby authorize and request the Commissioner of Patents of the United States of America to issue any and all United States patents which may be granted upon said United

States applications or any of them, or upon said invention or any part thereof, to said ASSIGNEE;

AND We hereby jointly and severally agree for ourselves and for our respective heirs, executors and administrators, to execute without further consideration any further lawful documents and any further assurances, and any provisional, non-provisional, divisional, continuing, reissue, or other applications for patents of any country, that may be deemed necessary by said ASSIGNEE fully to secure to said ASSIGNEE its interest as aforesaid in and to said invention or any part thereof, and in and to said several patents or any of them;

AND We hereby jointly and severally covenant for ourselves and our respective legal representatives that we have granted no right or license to make, use or sell said invention, to anyone except said ASSIGNEE, that prior to the execution of this deed our right, title and interest in said invention had not been otherwise encumbered, and that we have not executed and will not execute any instrument in conflict herewith.

IN WITNESS WHEREOF, we have hereunto set our hands.

2-21-05

Date

Eugene A. Smith
EUGENE A. SMITH

2-18-05

Date

St A. Kellner
STEVEN ANDREW KELLNER

2-18-05

Date

Glen Paul Peltonen
GLEN PAUL PELTONEN

18 Feb 05

Date

Brian Lee Staton
BRIAN LEE STATON

ACKNOWLEDGMENT

STATE OF Florida)
COUNTY OF Brevard)

On this 21 day of February, 2005, before me, a Notary Public, personally appeared EUGENE A. SMITH, to me known to be the person described in and who executed the foregoing assignment and acknowledged that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal the date and year last above written.



Celeste A. Nugent-Williams
My Commission DD065917
Expires October 18, 2005

Celeste A. Nugent-Williams
Notary Public

My Commission Expires:

October 18, 2005

STATE OF Florida)
COUNTY OF Brevard)

On this 18 day of February, 2005, before me, a Notary Public, personally appeared STEVEN ANDREW KELLNER, to me known to be the person described in and who executed the foregoing assignment and acknowledged that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal the date and year last above written.



Celeste A Nugent-Williams
My Commission DD065917
Expires October 18, 2005

My Commission Expires:

Celeste A. Nugent-Williams
Notary Public

October 18, 2005

STATE OF Florida)
COUNTY OF Brevard)

On this 18 day of February, 2005, before me, a Notary Public, personally appeared GLEN PAUL PELTONEN, to me known to be the person described, in and who executed, the foregoing assignment and acknowledged that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal and the date and year last above written.



Celeste A Nugent-Williams
My Commission DD065917
Expires October 18, 2005

My Commission Expires:

Celeste A. Nugent-Williams
Notary Public

October 18, 2005

STATE OF Florida)

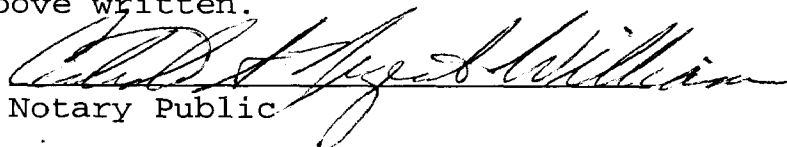
COUNTY OF Brevard)

On this 18 day of February, 2005, before me, a Notary Public, personally appeared BRIAN LEE STATON, to me known to be the person described in and who executed the foregoing assignment and acknowledged that he executed same as his free act and deed.

IN TESTIMONY WHEREOF, I have hereunto set my hand and seal the date and year last above written.



Celeste A Nugent-Williams
My Commission DD065917
Expires October 18, 2005


Notary Public

My Commission Expires:

October 18, 2005