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OMB No. 0651-0027 (exp. 6/30/2008)

S. DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office



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

9.29.05

**1. Name of conveying party(ies)**

Werner Barton; Wilhelm Janssen; Robert Delmerico; & Nicholas W. Miller

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

**3. Nature of conveyance/Execution Date(s):**

07/29/2005; 09/18/2005; 07/29/2005; &

Execution Date(s) 07/29/2005 Respectively

- Assignment  Merger
- Security Agreement  Change of Name
- Joint Research Agreement
- 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: 1 River Road

City: Schenectady

State: New York

Country: U.S. Zip: 12345

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

11300B U.S. PTO  
11238473



092905

**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: Patrick W. Rasche, Esq.

Internal Address: \_\_\_\_\_

Street Address: Armstrong Teasdale LLP

One Metropolitan Square, Suite 2600

City: St. Louis

State: MO Zip: 63102

Phone Number: (314) 621-5070

Fax Number: (314) 621-5065

Email Address: \_\_\_\_\_

**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 01-2384

Authorized User Name Patrick W. Rasche

**9. Signature:**

*Patrick W. Rasche*

Signature

September 29, 2005

Date

Patrick W. Rasche  
Name of Person Signing

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

16

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:  
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

10/06/2005 DBYRME 00000268 012384 11238473  
01 FC:0021 40.00 DA

ASSIGNMENT

Attorney Docket No.

164732

In accordance with obligations entered into pursuant to an Employee Innovation and Proprietary Information Agreement or other agreement and/or for other good and valuable consideration, of which we acknowledge receipt, we, **WERNER BARTON**, of **Westfalenring 8, 48712 Gescher, Germany**, **WILHELM JANSSEN**, of **Am Schwalbenberg 26, 26683 Saterland, Germany**, **ROBERT DELMERICO**, of **6 Elm Place, Clifton Park, New York 12065** and **NICHOLAS W. MILLER**, of **124 Clipp Road, Delmar, New York 12054**, hereby sell and assign to General Electric Company, a New York Corporation, having an address at 1 River Road, Schenectady, New York 12345, USA, (hereinafter referred to as "Company"), its successors and assigns, our entire respective rights, titles and interests in and to the invention and improvements invented and originated by us and described in the application for United States Patent currently entitled **WIND TURBINE AND METHOD FOR OPERATING SAME, Docket Number 164732**, executed concurrently herewith, and any and all applications for patent and patents therefrom in any and all countries, including all divisions, continuations, reexaminations and reissues thereof, and all rights of priority resulting from the filing of said United States application, and authorize and request any official whose duty it is to issue patents, to issue any patent on said inventions and improvements resulting therefrom to said Company, or its successors or assigns and agree that on request and without further consideration, but at the expense of said Company, we will communicate to said Company or its representatives or nominees any facts known to us respecting said inventions and improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, reexamination and reissue applications, make all rightful oaths and generally do everything possible to aid said Company, its successors, assigns, and nominees to obtain and enforce proper patent protection for said invention and its improvements in all countries.

Signed at town of \_\_\_\_\_, State of \_\_\_\_\_,  
this \_\_\_\_\_ day of \_\_\_\_\_, 2005.

\_\_\_\_\_  
**WERNER BARTON**

ASSIGNMENT

Attorney Docket No.

164732

Witnessed by:

STATE OF \_\_\_\_\_ )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

This \_\_\_\_ day of \_\_\_\_\_, 2005, before me personally came the above-named WERNER BARTON, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

(Seal)

Signed at town of \_\_\_\_\_, State of \_\_\_\_\_,  
this \_\_\_\_ day of \_\_\_\_\_, 2005.

**WILHELM JANSSEN**

Witnessed by:

STATE OF \_\_\_\_\_ )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

This \_\_\_\_ day of \_\_\_\_\_, 2005, before me personally came the above-named WILHELM JANSSEN, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

(Seal)

ASSIGNMENT	Attorney Docket No. 164732
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Signed at town of \_\_\_\_\_, State of \_\_\_\_\_,  
this \_\_\_\_\_ day of \_\_\_\_\_, 2005.

Robert Delmerico  
**ROBERT DELMERICO**

Witnessed by:

STATE OF New York  
COUNTY OF SCHENECTADY <sup>SS.</sup>

\_\_\_\_\_  
Witness Signature and Date

This 29th day of July, 2005, before me personally came the above-named ROBERT DELMERICO, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

\_\_\_\_\_  
Printed Name of Witness

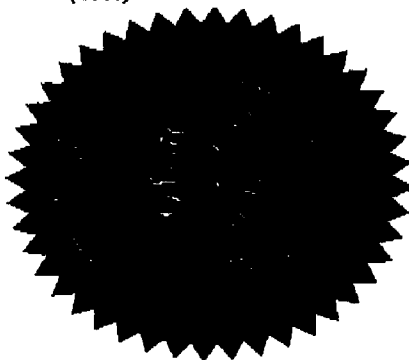
[Signature]  
Notary Public

\_\_\_\_\_  
Witness Signature and Date

My Commission Expires: August 19, 2005

\_\_\_\_\_  
Printed Name of Witness

(Seal)



**VIVIAN D. BRADON**  
Notary Public - State of New York  
Qualified in Albany County No. 4985535  
My Commission Expires August 19, 2005

**ASSIGNMENT**

Attorney Docket No.

164732

Signed at town of \_\_\_\_\_, State of \_\_\_\_\_,  
this \_\_\_\_ day of \_\_\_\_\_, 2005.

**NICHOLAS W. MILLER**

Witnessed by:

STATE OF \_\_\_\_\_ )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

This \_\_\_\_ day of \_\_\_\_\_, 2005, before  
me personally came the above-named NICHOLAS W.  
MILLER, to me personally known as the individual  
who executed the foregoing assignment, who  
acknowledged to me that he executed the same of his  
own free will for the purposes therein set forth.

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

(Seal)

<b>ASSIGNMENT</b>	Attorney Docket No. <b>164732</b>
-------------------	--------------------------------------

In accordance with obligations entered into pursuant to an Employee Innovation and Proprietary Information Agreement or other agreement and/or for other good and valuable consideration, of which we acknowledge receipt, we, **WERNER BARTON**, of *Westfalenring 8, 48712 Gescher, GERMANY*, **WILHELM JANSSEN**, of *Am Schwalbenberg 26, 26683 Saterland, GERMANY*, **ROBERT DELMERICO**, of *6 Elm Place, Clifton Park, New York, 12065*, and **NICHOLAS W. MILLER**, of *124 Clipp Road, Delmar, New York, 12054*, hereby sell and assign to General Electric Company, a New York Corporation, having an address at 1 River Road, Schenectady, New York 12345, USA, (hereinafter referred to as "Company"), its successors and assigns, our entire respective rights, titles and interests in and to the invention and improvements invented and originated by us and described in the application for United States Patent currently entitled **WIND TURBINE AND METHOD FOR OPERATING SAME**, (*Atty. Dkt. No.: 164732*), executed concurrently herewith, and any and all applications for patent and patents therefrom in any and all countries, including all divisions, continuations, reexaminations and reissues thereof, and all rights of priority resulting from the filing of said United States application, and authorize and request any official whose duty it is to issue patents, to issue any patent on said inventions and improvements resulting therefrom to said Company, or its successors or assigns and agree that on request and without further consideration, but at the expense of said Company, we will communicate to said Company or its representatives or nominees any facts known to us respecting said inventions and improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, reexamination and reissue applications, make all rightful oaths and generally do everything possible to aid said Company, its successors, assigns, and nominees to obtain and enforce proper patent protection for said invention and its improvements in all countries. Remuneration claims of the inventor(s)/assignor(s) potentially arising from the German Law on Employee Inventions (LEI) remain unaffected by this assignment.

<b>ASSIGNMENT</b>	Attorney Docket No. <b>164732</b>
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\_\_\_\_\_, 20 \_\_\_\_\_ **WERNER BARTON**

Witnessed by: \_\_\_\_\_ Date: \_\_\_\_\_  
*Signature*  
 \_\_\_\_\_  
 Printed Name of Witness

Witnessed by: \_\_\_\_\_ Date: \_\_\_\_\_  
*Signature*  
 \_\_\_\_\_  
 Printed Name of Witness

X 18. September, 20 05 \_\_\_\_\_  
 \_\_\_\_\_  
**WILHELM JANSSEN**

Witnessed by: \_\_\_\_\_ Date: \_\_\_\_\_  
*Signature*  
 \_\_\_\_\_  
 Printed Name of Witness

Witnessed by: \_\_\_\_\_ Date: \_\_\_\_\_  
*Signature*  
 \_\_\_\_\_  
 Printed Name of Witness

\_\_\_\_\_, 20 \_\_\_\_\_ **ROBERT DELMERICO**

Witnessed by: \_\_\_\_\_ Date: \_\_\_\_\_  
*Signature*  
 \_\_\_\_\_  
 Printed Name of Witness

Witnessed by: \_\_\_\_\_ Date: \_\_\_\_\_  
*Signature*  
 \_\_\_\_\_  
 Printed Name of Witness

<b>ASSIGNMENT</b>	Attorney Docket No. <b>164732</b>
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\_\_\_\_\_, 20\_\_\_\_ NICHOLAS W. MILLER

Witnessed by: \_\_\_\_\_  
*Signature*

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

\_\_\_\_\_  
 Printed Name of Witness

Witnessed by: \_\_\_\_\_  
*Signature*

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

\_\_\_\_\_  
 Printed Name of Witness



<b>ASSIGNMENT</b>	Attorney Docket No. <b>164732</b>
-------------------	--------------------------------------

In accordance with obligations entered into pursuant to an Employee Innovation and Proprietary Information Agreement or other agreement and/or for other good and valuable consideration, of which we acknowledge receipt, we, **WERNER BARTON**, of **Westfalenring 8, 48712 Gescher, Germany**, **WILHELM JANSSEN**, of **Am Schwalbenberg 26, 26683 Saterland, Germany**, **ROBERT DELMERICO**, of **6 Elm Place, Clifton Park, New York 12065** and **NICHOLAS W. MILLER**, of **124 Clipp Road, Delmar, New York 12054**, hereby sell and assign to General Electric Company, a New York Corporation, having an address at 1 River Road, Schenectady, New York 12345, USA, (hereinafter referred to as "Company"), its successors and assigns, our entire respective rights, titles and interests in and to the invention and improvements invented and originated by us and described in the application for United States Patent currently entitled **WIND TURBINE AND METHOD FOR OPERATING SAME**, Docket Number **164732**, executed concurrently herewith, and any and all applications for patent and patents therefrom in any and all countries, including all divisions, continuations, reexaminations and reissues thereof, and all rights of priority resulting from the filing of said United States application, and authorize and request any official whose duty it is to issue patents, to issue any patent on said inventions and improvements resulting therefrom to said Company, or its successors or assigns and agree that on request and without further consideration, but at the expense of said Company, we will communicate to said Company or its representatives or nominees any facts known to us respecting said inventions and improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, reexamination and reissue applications, make all rightful oaths and generally do everything possible to aid said Company, its successors, assigns, and nominees to obtain and enforce proper patent protection for said invention and its improvements in all countries.

Signed at town of \_\_\_\_\_, State of \_\_\_\_\_,  
 this \_\_\_\_\_ day of \_\_\_\_\_, 2005.

\_\_\_\_\_  
**WERNER BARTON**

<b>ASSIGNMENT</b>	Attorney Docket No. 164732
-------------------	-------------------------------

Witnessed by:

STATE OF \_\_\_\_\_ )  
 ) ss.  
 COUNTY OF \_\_\_\_\_ )

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

This \_\_\_\_ day of \_\_\_\_\_, 2005, before me personally came the above-named WERNER BARTON, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

(Seal)

Signed at town of \_\_\_\_\_, State of \_\_\_\_\_,  
 this \_\_\_\_ day of \_\_\_\_\_, 2005.

\_\_\_\_\_  
**WILHELM JANSSEN**

Witnessed by:

STATE OF \_\_\_\_\_ )  
 ) ss.  
 COUNTY OF \_\_\_\_\_ )

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

\_\_\_\_\_  
Witness Signature and Date

\_\_\_\_\_  
Printed Name of Witness

This \_\_\_\_ day of \_\_\_\_\_, 2005, before me personally came the above-named WILHELM JANSSEN, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

(Seal)

ASSIGNMENT	Attorney Docket No. 164732
------------	-------------------------------

Signed at town of \_\_\_\_\_, State of \_\_\_\_\_,  
 this \_\_\_\_ day of \_\_\_\_\_, 2005.

\_\_\_\_\_  
**ROBERT DELMERICO**

Witnessed by:

STATE OF \_\_\_\_\_ )  
 ) ss.  
 COUNTY OF \_\_\_\_\_ )

\_\_\_\_\_  
 Witness Signature and Date

This \_\_\_\_\_ day of \_\_\_\_\_, 2005, before me personally came the above-named ROBERT DELMERICO, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

\_\_\_\_\_  
 Printed Name of Witness

\_\_\_\_\_  
 Witness Signature and Date

\_\_\_\_\_  
 Notary Public

\_\_\_\_\_  
 Printed Name of Witness

My Commission Expires: \_\_\_\_\_

(Seal)

ASSIGNMENT	Attorney Docket No. 164732
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Signed at town of Schenectady, State of New York,  
 this 29 day of July, 2005.

*Nicholas W. Miller*  
 \_\_\_\_\_  
 NICHOLAS W. MILLER

Witnessed by:  
*Kara Clark* 7/29/05  
 \_\_\_\_\_  
 Witness Signature and Date  
Kara Clark  
 \_\_\_\_\_  
 Printed Name of Witness

STATE OF \_\_\_\_\_ )  
 ) ss.  
 COUNTY OF \_\_\_\_\_ )

This \_\_\_\_ day of \_\_\_\_\_, 2005, before me personally came the above-named NICHOLAS W. MILLER, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

*Juan L. Sanchez-Gasca* 7/29/05  
 \_\_\_\_\_  
 Witness Signature and Date  
JUAN L. SANCHEZ-GASCA  
 \_\_\_\_\_  
 Printed Name of Witness

\_\_\_\_\_  
 Notary Public  
 My Commission Expires: \_\_\_\_\_

(Seal)

## ASSIGNMENT

Attorney Docket No.

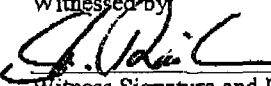
164732

In accordance with obligations entered into pursuant to an Employee Innovation and Proprietary Information Agreement or other agreement and/or for other good and valuable consideration, of which we acknowledge receipt, we, **WERNER BARTON**, of **Westfalenring 8, 48712 Gescher, Germany**, **WILHELM JANSSEN**, of **Am Schwalbenberg 26, 26683 Saterland, Germany**, **ROBERT DELMÉRICO**, of **6 Elm Place, Clifton Park, New York 12065** and **NICHOLAS W. MILLER**, of **124 Clipp Road, Delmar, New York 12054**, hereby sell and assign to General Electric Company, a New York Corporation, having an address at 1 River Road, Schenectady, New York 12345, USA, (hereinafter referred to as "Company"), its successors and assigns, our entire respective rights, titles and interests in and to the invention and improvements invented and originated by us and described in the application for United States Patent currently entitled **WIND TURBINE AND METHOD FOR OPERATING SAME**, Docket Number 164732, executed concurrently herewith, and any and all applications for patent and patents therefrom in any and all countries, including all divisions, continuations, reexaminations and reissues thereof, and all rights of priority resulting from the filing of said United States application, and authorize and request any official whose duty it is to issue patents, to issue any patent on said inventions and improvements resulting therefrom to said Company, or its successors or assigns and agree that on request and without further consideration, but at the expense of said Company, we will communicate to said Company or its representatives or nominees any facts known to us respecting said inventions and improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuation, reexamination and reissue applications, make all rightful oaths and generally do everything possible to aid said Company, its successors, assigns, and nominees to obtain and enforce proper patent protection for said invention and its improvements in all countries.

Signed at town of Solzberg, State of Germany,  
this 29 day of July, 2005.

  
\_\_\_\_\_  
WERNER BARTON

ASSIGNMENT	Attorney Docket No. 164732
------------	-------------------------------

Witnessed by  
 July 23, 2005  
 Witness Signature and Date

**STEFAN RIEKEN**  
 Printed Name of Witness

 July 23, 2005  
 Witness Signature and Date

**MARTINA EMERICH**  
 Printed Name of Witness

STATE OF \_\_\_\_\_ )  
 ) ss.  
 COUNTY OF \_\_\_\_\_ )

This \_\_\_\_ day of \_\_\_\_\_, 2005, before me personally came the above-named WERNER BARTON, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

\_\_\_\_\_  
 Notary Public

My Commission Expires: \_\_\_\_\_

(Seal)

Signed at town of \_\_\_\_\_, State of \_\_\_\_\_  
 this \_\_\_\_ day of \_\_\_\_\_, 2005.

**WILHELM JANSSEN**

Witnessed by:  
 \_\_\_\_\_  
 Witness Signature and Date

\_\_\_\_\_  
 Printed Name of Witness

\_\_\_\_\_  
 Witness Signature and Date

\_\_\_\_\_  
 Printed Name of Witness

STATE OF \_\_\_\_\_ )  
 ) ss.  
 COUNTY OF \_\_\_\_\_ )

This \_\_\_\_ day of \_\_\_\_\_, 2005, before me personally came the above-named WILHELM JANSSEN, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

\_\_\_\_\_  
 Notary Public

My Commission Expires: \_\_\_\_\_

(Seal)

ASSIGNMENT	Attorney Docket No. 164732
------------	-------------------------------

Signed at town of \_\_\_\_\_, State of \_\_\_\_\_,  
 this \_\_\_\_ day of \_\_\_\_\_, 2005.

**ROBERT DELMERICO**

Witnessed by:

STATE OF \_\_\_\_\_ )  
 ) ss.  
 COUNTY OF \_\_\_\_\_ )

\_\_\_\_\_  
 Witness Signature and Date

\_\_\_\_\_  
 Printed Name of Witness

\_\_\_\_\_  
 Witness Signature and Date

\_\_\_\_\_  
 Printed Name of Witness

This \_\_\_\_ day of \_\_\_\_\_, 2005, before me personally came the above-named ROBERT DELMERICO, to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he executed the same of his own free will for the purposes therein set forth.

\_\_\_\_\_  
 Notary Public

My Commission Expires: \_\_\_\_\_

(Seal)

ASSIGNMENT	Attorney Docket No. 164732
------------	-------------------------------

Signed at town of \_\_\_\_\_, State of \_\_\_\_\_,  
 this \_\_\_\_ day of \_\_\_\_\_, 2005.

\_\_\_\_\_  
**NICHOLAS W. MILLER**

Witnessed by:

STATE OF \_\_\_\_\_ )  
 ) ss.  
 COUNTY OF \_\_\_\_\_ )

\_\_\_\_\_  
 Witness Signature and Date

This \_\_\_\_ day of \_\_\_\_\_, 2005, before  
 me personally came the above-named NICHOLAS W.  
 MILLER, to me personally known as the individual  
 who executed the foregoing assignment, who  
 acknowledged to me that he executed the same of his  
 own free will for the purposes therein set forth.

\_\_\_\_\_  
 Printed Name of Witness

\_\_\_\_\_  
 Witness Signature and Date

\_\_\_\_\_  
 Notary Public

\_\_\_\_\_  
 Printed Name of Witness

My Commission Expires: \_\_\_\_\_

(Seal)