

10.18.06



10-24-2006



103326364

DOCKET NO.: GEH01 00178

PATENT CONVEYANCE

COVER SHEET

To the Honorable Commissioner of Patents and Trademarks:
Mail Stop Assignment Recordation Services

Please record the attached original document or copy thereof.

Name of conveying party(ies):

Wolfgang Daum
John Hershey
Randall Markley
Paul Julich
Mitchell Scott Wills

Additional name(s) of conveying party(ies) attached?

Yes ___ No X

Name and address of receiving party(ies):

General Electric Company

One River Road

City: Schenectady

State: New York 12301

Additional name(s) and address(es) attached?

Yes ___ No X

Nature of conveyance:

X Assignment

___ Merger

___ Security Agreement

___ Change of Name

X Execution Date: (August 23, 2006, August 24, 2006 and August 28, 2006)

Total number of applications and patents involved: 1

A. Patent Application No. 11/518,250
Filing Date: September 11, 2006

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

Name: Patrick D. McPherson

Address: DUANE MORRIS LLP
1667 K Street, N.W., Suite 700
Washington, D.C. 20006

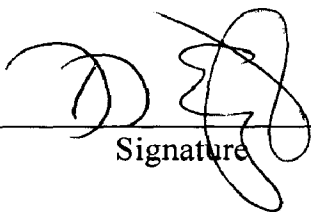
The Commissioner is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 04-1679. A duplicate of this sheet is enclosed.

Total fee (37 C.F.R. 3.41): \$40.00

___ Enclosed

___ Authorized to be charged to deposit account

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.



Signature



Date

KEY DOCKET NO.: GEH01 00178**PATENT CONVEYANCE RECORDATION COVER SHEET**

To the Honorable Commissioner of Patents and Trademarks:
Mail Stop Assignment Recordation Services

Please record the attached original document or copy thereof.

Name of conveying party(ies): Wolfgang Daum John Hershey Randall Markley Paul Julich Mitchell Scott Wills Additional name(s) of conveying party(ies) attached? Yes ___ No <u>X</u>	Name and address of receiving party(ies): <u>General Electric Company</u> <u>One River Road</u> City: <u>Schenectady</u> State: <u>New York 12301</u> Additional name(s) and address(es) attached? Yes ___ No <u>X</u>
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Nature of conveyance:

<input checked="" type="checkbox"/> Assignment	<input type="checkbox"/> Merger
<input type="checkbox"/> Security Agreement	<input type="checkbox"/> Change of Name
<input checked="" type="checkbox"/> Execution Date: (August 23, 2006, August 24, 2006 and August 28, 2006)	

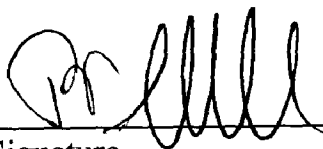
Total number of applications and patents involved: 1

A. Patent Application No. _____
Filing Date: _____

Name and address of party to whom correspondence concerning document should be mailed: Name: Patrick D. McPherson Address: DUANE MORRIS LLP 1667 K Street, N.W., Suite 700 Washington, D.C. 20006	The Commissioner is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 04-1679. A duplicate of this sheet is enclosed. Total fee (37 C.F.R. 3.41): <u>\$40.00</u> <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to be charged to deposit account
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09/13/2006 NJAN61 00000113 MCPHERSON P 40.00 0P
01 FC-8021

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.

A handwritten signature in black ink, consisting of a large initial 'P' followed by several loops and a long horizontal stroke.

Signature

9-11-06

Date

ASSIGNMENT

WHEREAS, We, Wolfgang Daum, 5228 Annendale Drive, Erie, Pennsylvania, 16506; John Hershey, 4 Vines Road, Ballston Lake, New York 12019; Randall Markley, 4545 Willowbend Drive, Melbourne, Florida 32935; Paul Julich, 221 9th Terrace, Indialantic, Florida 32903; and Mitchell Scott Wills, 590 Ford Circle West, Melbourne, Florida, 32935; have invented an improvement in **SYSTEM AND METHOD OF MULTI-GENERATION POSITIVE TRAIN CONTROL SYSTEM**, File 206693, and have executed an application for a United States patent based thereon, simultaneously herewith.

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) 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.

Aug 24th. 2006
Date

Wolfgang Daum
Wolfgang Daum

Date

John Hershey

Date

Randall Markley

Date

Paul Julich

Date

Mitchell Scott Wills

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.

Date

8/23/2006

Date

Wolfgang Daum



John Hershey

Date

Randall Markley

Date

Paul Julich

Date

Mitchell Scott Wills

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.

Date Wolfgang Daum

Date John Hershey

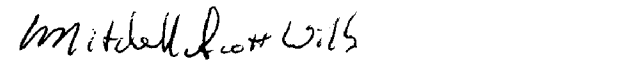
August 28, 2006
Date


Randall Markley

Aug. 28, 2006
Date


Paul Julich

Aug 28, 2006
Date


Mitchell Scott Wills

ACKNOWLEDGEMENT

STATE OF PENNSYLVANIA)
)
COUNTY OF ERIE)

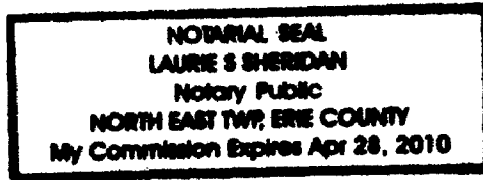
On this 24th day of August, 2006, before me, a Notary Public, personally appeared Wolfgang Daum, to me known to be the person described in and who executed the foregoing assignment and acknowledged that he executed same as his free act and deed.

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

Laurie S. Sheridan
Notary Public

My Commission Expires:

April 28, 2010



ACKNOWLEDGEMENT

STATE OF NEW YORK)
)
COUNTY OF _____)

On this _____ day of August, 2006, before me, a Notary Public, personally appeared John Hershey, 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.

Notary Public

My Commission Expires:

ACKNOWLEDGEMENT

STATE OF PENNSYLVANIA)
)
COUNTY OF _____)

On this _____ day of August, 2006, before me, a Notary Public, personally appeared Wolfgang Daum, 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.

Notary Public

My Commission Expires:

ACKNOWLEDGEMENT

STATE OF NEW YORK)
)
COUNTY OF Schenectady)

On this 23rd day of August, 2006, before me, a Notary Public, personally appeared John Hershey, 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.

Jean G. Myers
Notary Public

My Commission Expires:

11/12/10

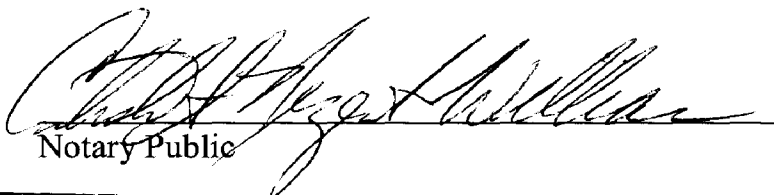
Jean G. Myers
Notary Public - State of New York
No. 01MY5068850
Qualified in Schenectady County
My Commission Expires 11/12/10

ACKNOWLEDGEMENT

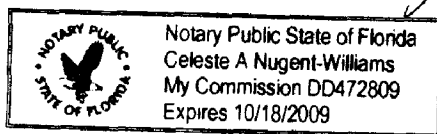
STATE OF FLORIDA)
COUNTY OF Brevard)

On this 28 day of August, 2006, before me, a Notary Public, personally appeared Randall Markley, 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.


Notary Public

My Commission Expires:



ACKNOWLEDGEMENT

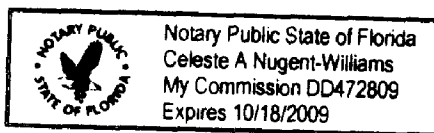
STATE OF FLORIDA)
COUNTY OF Brevard)

On this 28 day of August, 2006, before me, a Notary Public, personally appeared Paul Julich, 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.


Notary Public

My Commission Expires:

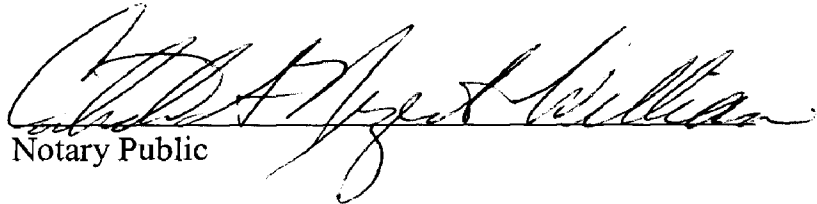


ACKNOWLEDGEMENT

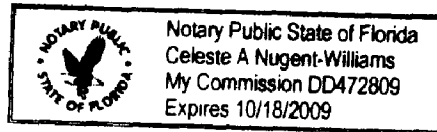
STATE OF FLORIDA)
)
COUNTY OF Brevard)

On this 28 day of August, 2006, before me, a Notary Public, personally appeared Mitchell Scott Wills, 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.


Notary Public

My Commission Expires:



The Commissioner is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 04-1679.

A duplicate of this sheet is enclosed.

Respectfully submitted,



Patrick D. McPherson	Reg. No. 46,255
D. Joseph English	Reg. No. 42,514
Mark C. Comtois	Reg. No. 46,285

DUANE MORRIS LLP
1667 K Street, N.W., Suite 700
Washington, D.C. 20006
Telephone: (202) 776-7800
Facsimile: (202) 776-7801

Dated: October 18, 2006



ATTORNEY DOCKET NO. GEH01 00178

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Patent Application of Wolfgang Daum, *et al.*

Serial No.: 11/518,250

Art Unit: 3661

Filed: September 11, 2006

Examiner: Unassigned

Document I.D. No.: 103307028

Title: SYSTEM AND METHOD OF MULTI-GENERATION POSITIVE
TRAIN CONTROL SYSTEM

TRANSMITTAL

Mail Stop Assignment Recordation Services

Commissioner for Patents

P.O. Box 1450

Alexandria, Virginia 22313-1450

Sir:

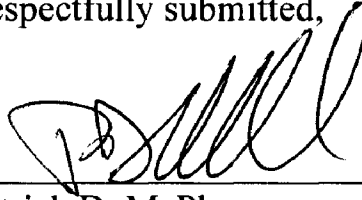
In response to the Notice of Non-Recordation of Document dated September 27, 2006 (copy enclosed), transmitted herewith is the Patent Conveyance Recordation Cover Sheet previously filed with the U.S. Patent and Trademark Office on September 11, 2006 showing the official date stamp, the Assignment previously filed on September 11, 2006, and a new Patent Conveyance Recordation Cover Sheet which now includes the Patent Application Serial Number and Filing Date.

If a Petition for an Extension of Time is necessary for the paper transmitted herewith to be timely filed, this transmittal is to be considered as a petition to extend the response period by the amount of time needed for the paper to be timely filed.

The Commissioner is hereby authorized to charge payment of any additional fees associated with this communication or credit any overpayment to Deposit Account No. 04-1679.

A duplicate of this sheet is enclosed.

Respectfully submitted,



Patrick D. McPherson	Reg. No. 46,255
D. Joseph English	Reg. No. 42,514
Mark C. Comtois	Reg. No. 46,285

DUANE MORRIS LLP
1667 K Street, N.W., Suite 700
Washington, D.C. 20006
Telephone: (202) 776-7800
Facsimile: (202) 776-7801

Dated: October 18, 2006



UNITED STATES PATENT AND TRADEMARK OFFICE

UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

SEPTEMBER 27, 2006

PTAS



103307028A

PATRICK D. MCPHERSON
DUANE MORRIS LLP
1667 K STREET, N.W., SUITE 700
WASHINGTON, D.C. 20006

RECEIVED
DUANE MORRIS, LLP
OCT - 4 2006

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF NON-RECORDATION OF DOCUMENT

DOCUMENT ID NO.: 103307028

THE ENCLOSED DOCUMENT HAS BEEN EXAMINED AND FOUND NON-RECORDABLE BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. THE REASON(S) FOR NON-RECORDATION ARE STATED BELOW. DOCUMENTS BEING RESUBMITTED FOR RECORDATION MUST BE ACCOMPANIED BY A NEW COVER SHEET REFLECTING THE CORRECT INFORMATION TO BE RECORDED AND THE DOCUMENT ID NUMBER REFERENCED ABOVE.

THE ORIGINAL DATE OF FILING OF THIS ASSIGNMENT DOCUMENT WILL BE MAINTAINED IF RESUBMITTED WITH THE APPROPRIATE CORRECTION(S) WITHIN 30 DAYS FROM THE DATE OF THIS NOTICE AS OUTLINED UNDER 37 CFR 3.51. THE RESUBMITTED DOCUMENT MUST INCLUDE A STAMP WITH THE OFFICIAL DATE OF RECEIPT UNDER 37 CFR 3. APPLICANTS MAY USE THE CERTIFIED PROCEDURES UNDER 37 CFR 1.8 OR 1.10 FOR RESUBMISSION OF THE RETURNED PAPERS, IF THEY DESIRE TO HAVE THE BENEFIT OF THE DATE OF DEPOSIT IN THE UNITED STATES POSTAL SERVICE.

SEND DOCUMENTS TO: U.S. PATENT AND TRADEMARK OFFICE,
MAIL STOP: ASSIGNMENT SERVICES BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.
IF YOU HAVE ANY QUESTIONS REGARDING THIS NOTICE,
YOU MAY CONTACT THE INDIVIDUAL WHOSE NAME APPEARS ON THIS NOTICE AT
571-272-3350.

1. THE COVER SHEET SUBMITTED FOR RECORDING DOES NOT ADEQUATELY IDENTIFY THE PROPERTY NUMBER(S). THE APPLICATION NUMBER AND SERIES CODE OR THE SERIAL NUMBER AND FILING DATE IS REQUIRED.

SHIRLIE SIMON, EXAMINER
ASSIGNMENT SERVICES BRANCH
PUBLIC RECORDS DIVISION

DOCKETED
10.27.06