

06-25-2008

5-13-00



ET

To the Director of the U.S. Patent

103510458

documents or the new address(es) below.

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

Keith Kabrick  
John Zeirke  
Thomas J. Gregg  
David M. White

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

**2. Name and address of receiving party(ies)**

Name: Caterpillar Inc.

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

Street Address: 100 NE Adams Street

City: Peoria

State: Illinois

Country: US Zip: 61629

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

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

Execution Date(s) 5/5/08; 5/5/08; 5/5/08; 5/5/08

- Assignment  Merger
- Security Agreement  Change of Name
- Joint Research Agreement
- Government Interest Assignment
- Executive Order 9424, Confirmatory License
- Other \_\_\_\_\_

**4. Application or patent number(s):**

A. Patent Application No.(s)

This document is being filed together with a new application.

B. Patent No.(s)

Additional numbers attached?  Yes  No

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

Name: Michael B. McNeil

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

Street Address: 511 S. Madison Street

P.O. Box 2417

City: Bloomington

State: Indiana Zip: 47402

Phone Number: 812-333-5355

Fax Number: 812-333-3173

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 500226

Authorized User Name Michael B. McNeil

**9. Signature:**

*Kelley J. Smith*  
Signature

Kelley J. Smith

Name of Person Signing

05/20/2008 MIAMA 5/13/08  
Date 12152172

01 FC:8021

Total number of pages including cover sheet, attachments, and documents: 8

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

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U.S. PTO

12152172

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Form PTO-1595 (Rev. 07/05)  
OMB No. 0661-0027 (exp. 6/30/2008)

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

### RECORDATION FORM COVER SHEET 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)  
 Gopala K. Gode  
 Jie Tu

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

2. Name and address of receiving party(ies)  
 Name: Caterpillar Inc.  
 Internal Address: \_\_\_\_\_  
 \_\_\_\_\_  
 Street Address: 100 NE Adams Street  
 \_\_\_\_\_  
 City: Peoria  
 State: Illinois  
 Country: US Zip: 61629

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

3. Nature of conveyance/Execution Date(s):  
 Execution Date(s) 5/5/08; 5/8/08

Assignment  Merger  
 Security Agreement  Change of Name  
 Joint Research Agreement  
 Government Interest Assignment  
 Executive Order 9424, Confirmatory License  
 Other \_\_\_\_\_

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: Michael B. McNeil  
 Internal Address: \_\_\_\_\_  
 \_\_\_\_\_  
 Street Address: 511 S. Madison Street  
P.O. Box 2417  
 City: Bloomington  
 State: Indiana Zip: 47402  
 Phone Number: 812-333-5355  
 Fax Number: 812-333-3173  
 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 500226  
 Authorized User Name Michael B. McNeil

9. Signature: Kelly J. Smith 5/13/08  
 \_\_\_\_\_ Date  
 Kelly J. Smith  
 Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 8

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, VA. 22313-1450

Page 2 of 2

ASSIGNMENT

WHEREAS, Keith Kabrick, residing at Springfield, Illinois, hereinafter referred to as ASSIGNOR has invented together with Thomas J. Gregg, Gopala K. Gorle, David M. White, John Zeirke and Jie Tu a new and useful

AXLE ASSEMBLY FOR ELECTRIC DRIVE MACHINE

for which ASSIGNOR is about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNOR on 5/5/08; and

WHEREAS, Caterpillar Inc., a Delaware corporation having a place of business at Peoria, State of Illinois, United States of America, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNOR from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNOR;

1. ASSIGNOR hereby sells, assigns, transfers and conveys unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNOR has the full right to do so.

2. At the request and expense of ASSIGNEE, ASSIGNOR agrees to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.

3. ASSIGNOR hereby authorizes and requests the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to Caterpillar Inc.

4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNOR, ASSIGNOR'S heirs and legal representatives.

IN TESTIMONY WHEREOF, ASSIGNOR has executed this instrument.

Keith Kabrick  
KEITH KABRICK

5 May 08  
Date

IN WITNESS OF the execution hereof by KEITH KABRICK we have hereunto set our hands.

[Signature] 5-5-08  
Witness (1) Date  
Address: 3207 N. Northaven Ct  
Apt. 3B  
Decatur, IL 62526

[Signature] 5/5/08  
Witness (2) Date  
Address: 711 AFAME DR  
FERRISVILLE IL 62535

ASSIGNMENT

WHEREAS, John Zeirke, residing at Decatur, Illinois, hereinafter referred to as ASSIGNOR has invented together with John Zeirke, Jie Tu, Keith Kabrick, Thomas J. Gregg, Gopala K. Gorle and David M. White a new and useful

AXLE ASSEMBLY FOR ELECTRIC DRIVE MACHINE

for which ASSIGNOR is about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNOR on 5/5/08; and

WHEREAS, Caterpillar Inc., a Delaware corporation having a place of business at Peoria, State of Illinois, United States of America, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNOR from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNOR;

1. ASSIGNOR hereby sells, assigns, transfers and conveys unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNOR has the full right to do so.

2. At the request and expense of ASSIGNEE, ASSIGNOR agrees to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.

3. ASSIGNOR hereby authorizes and requests the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to Caterpillar Inc.

4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNOR, ASSIGNOR'S heirs and legal representatives.

IN TESTIMONY WHEREOF, ASSIGNOR has executed this instrument.

[Signature]  
JOHN ZEIRKE

5/5/08  
Date

IN WITNESS OF the execution hereof by JOHN ZEIRKE we have hereunto set our hands.

[Signature] 5-5-08  
Witness (1) Date  
Address: 3707 N. Northaven Ct.  
Apt. 313  
Decatur, IL 62526

[Signature] 5/5/08  
Witness (2) Date  
Address: 711 Arching Dr.  
Forest Hill, IL 62535

ASSIGNMENT

WHEREAS, Thomas J. Gregg, residing at Decatur, Illinois, hereinafter referred to as ASSIGNOR has invented together with Gopala K. Gorle, David M. White, John Zeirke, Jie Tu and Keith Kabrick a new and useful

AXLE ASSEMBLY FOR ELECTRIC DRIVE MACHINE

for which ASSIGNOR is about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNOR on 5/5/08; and

WHEREAS, Caterpillar Inc., a Delaware corporation having a place of business at Peoria, State of Illinois, United States of America, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNOR from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNOR;

1. ASSIGNOR hereby sells, assigns, transfers and conveys unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNOR has the full right to do so.

2. At the request and expense of ASSIGNEE, ASSIGNOR agrees to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.

3. ASSIGNOR hereby authorizes and requests the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to Caterpillar Inc.

4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNOR, ASSIGNOR'S heirs and legal representatives.

IN TESTIMONY WHEREOF, ASSIGNOR has executed this instrument.

Thomas J. Gregg  
THOMAS J. GREGG

5-5-08  
Date

IN WITNESS OF the execution hereof by THOMAS J. GREGG we have hereunto set our hands.

R. J. Magick 5-5-08  
Witness (1) Date  
Address: 3707 N. Northaven Ct.  
Apt. 33  
Decatur, IL 62526

David Heath 5/5/08  
Witness (2) Date  
Address: 711 ARLING DR  
Forsyth, IL 62535

ASSIGNMENT

WHEREAS, David M. White, residing at Decatur, Illinois, hereinafter referred to as ASSIGNOR has invented together with John Zeirke, Jie Tu, Keith Kabrick, Thomas J. Gregg and Gopala K. Gorle a new and useful

AXLE ASSEMBLY FOR ELECTRIC DRIVE MACHINE

for which ASSIGNOR is about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNOR on 5/5/08; and

WHEREAS, Caterpillar Inc., a Delaware corporation having a place of business at Peoria, State of Illinois, United States of America, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country:

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNOR from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNOR:

1. ASSIGNOR hereby sells, assigns, transfers and conveys unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNOR has the full right to do so.
2. At the request and expense of ASSIGNEE, ASSIGNOR agrees to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.
3. ASSIGNOR hereby authorizes and requests the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to Caterpillar Inc.
4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNOR, ASSIGNOR'S heirs and legal representatives.

IN TESTIMONY WHEREOF, ASSIGNOR has executed this instrument.

David M. White  
DAVID M. WHITE

May 5, 2008  
Date

IN WITNESS OF the execution hereof by DAVID M. WHITE we have hereunto set our hands.

John Zeirke 5-5-08  
Witness (1) Date  
Address: 3707 N. Northaven Ct.  
Apt. 3B  
Decatur, IL 62526

Don Heath 5/5/08  
Witness (2) Date  
Address: 711 Adams Dr.  
Forest Hill, IL 62535

ASSIGNMENT

WHEREAS, Gopala K. Gorle, residing at Decatur, Illinois, hereinafter referred to as ASSIGNOR has invented together with David M. White, John Zeirke, Jie Tu, Keith Kabrick and Thomas J. Gregg a new and useful

AXLE ASSEMBLY FOR ELECTRIC DRIVE MACHINE

for which ASSIGNOR is about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNOR on 5/5/08; and

WHEREAS, Caterpillar Inc., a Delaware corporation having a place of business at Peoria, State of Illinois, United States of America, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNOR from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNOR;

1. ASSIGNOR hereby sells, assigns, transfers and conveys unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNOR has the full right to do so.

2. At the request and expense of ASSIGNEE, ASSIGNOR agrees to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.

3. ASSIGNOR hereby authorizes and requests the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to Caterpillar Inc.

4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNOR, ASSIGNOR'S heirs and legal representatives.

IN TESTIMONY WHEREOF, ASSIGNOR has executed this instrument.

Gopala K. Gorle  
GOPALA K. GORLE

05/05/2008  
Date

IN WITNESS OF the execution hereof by GOPALA K. GORLE we have hereunto set our hands.

Keith Kabrick 5-5-08  
Witness (1) Date  
Address: 3707 N. Northaven Ct.  
Apt. 3B  
Decatur IL 62526

David White 5/5/08  
Witness (2) Date  
Address: 711 Adair St  
Peoria, IL 62535

ASSIGNMENT

WHEREAS, Jie Tu, residing at Clarendon Hills, Illinois, hereinafter referred to as ASSIGNOR has invented together with Keith Kabrick, Thomas J. Gregg, Gopala K. Gorle, David M. White and John Zeirke a new and useful

AXLE ASSEMBLY FOR ELECTRIC DRIVE MACHINE

for which ASSIGNOR is about to file an international application and/or make application for Letters Patent in the United States of America, such invention being described and identified by said application having an attached International Application Request and/or an attached Declaration and Power of Attorney executed by ASSIGNOR on May 8 - 2008; and

WHEREAS, Caterpillar Inc., a Delaware corporation having a place of business at Peoria, State of Illinois, United States of America, hereinafter referred to as ASSIGNEE, is desirous of acquiring the entire right, title and interest in and to said invention and any Letters Patent granted thereon by the United States of America and any foreign country;

NOW, THEREFORE, in consideration of the sum of One Dollar (\$1.00) and for other good and valuable consideration received by ASSIGNOR from ASSIGNEE, the receipt of which is hereby acknowledged by ASSIGNOR;

1. ASSIGNOR hereby sells, assigns, transfers and conveys unto ASSIGNEE the entire right, title and interest in and to said invention, any application therefor, and any Letters Patent granted thereon by the United States of America and any foreign country, including any continuing application, reissue or extension thereof, together with the right to file applications and obtain patents for said invention in any foreign country, and covenant that ASSIGNOR has the full right to do so.

2. At the request and expense of ASSIGNEE, ASSIGNOR agrees to communicate to ASSIGNEE any facts known respecting said invention, to execute all papers necessary to file any application on said invention necessary or desirable to aid ASSIGNEE in obtaining and enforcing proper protection for said invention in the United States of America and any foreign country.

3. ASSIGNOR hereby authorizes and requests the COMMISSIONER OF PATENTS AND TRADEMARKS to issue the United States Letters Patent on said invention, when granted, to Caterpillar Inc.

4. This assignment shall inure to the benefit of ASSIGNEE, its successors, assigns and other legal representatives, and shall be binding upon ASSIGNOR, ASSIGNOR'S heirs and legal representatives.

IN TESTIMONY WHEREOF, ASSIGNOR has executed this instrument.

Jie Tu  
JIE TU

May 8 - 2008  
Date

IN WITNESS OF the execution hereof by JIE TU we have hereunto set our hands.

\_\_\_\_\_  
Witness (1) Date  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Witness (2) Date  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_