

## PATENT ASSIGNMENT

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SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
SOUTHWEST RESEARCH INSTITUTE	12/14/2011
RECEIVING PARTY DATA	
Name:	DRESSER-RAND COMPANY
Street Address:	Paul Clark Drive
City:	Olean
State/Country:	NEW YORK
Postal Code:	14760
PROPERTY NUMBERS Total: 2	
Property Type	Number
Application Number:	12930751
Application Number:	61402983
CORRESPONDENCE DATA	
Fax Number:	(281)480-2701
Phone:	2814802700
Email:	slanier@edmondsnolte.com
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent via US Mail.</i>	
Correspondent Name:	Edmonds & Nolte, PC, N. Alexander Nolte
Address Line 1:	10411 Westheimer Road
Address Line 2:	Suite 201
Address Line 4:	Houston, TEXAS 77042
ATTORNEY DOCKET NUMBER:	42495.668/668UTIL
NAME OF SUBMITTER:	N. Alexander Nolte
Total Attachments: 7 source=Executed_Assignment#page1.tif	

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## ASSIGNMENT

Whereas **SOUTHWEST RESEARCH INSTITUTE** (hereinafter "the Assignor"), having a principal place of business at 6220 Culebra Road, San Antonio, Texas 78238, owns the patents/patent applications listed in the following table (hereinafter "the Patents"):

Application No.	Country	Title
PCT/US2011/050520	PCT	INTERNALLY-COOLED CENTRIFUGAL COMPRESSOR WITH COOLING JACKET FORMED IN THE DIAPHRAGM
12/930,751	United States	INTERNALLY-COOLED CENTRIFUGAL COMPRESSOR WITH COOLING JACKET FORMED IN THE DIAPHRAGM
61/402,983	United States	INTERNALLY-COOLED CENTRIFUGAL COMPRESSOR WITH COOLING JACKET FORMED IN THE DIAPHRAGM

Whereas **Dresser-Rand Company** (hereinafter "the Assignee"), having a principal place of business at Paul Clark Drive, Olean, New York 14760, is desirous of acquiring the entire right, title and interest in and to the Patents, and the invention or inventions described therein, **subject to the rights, if any, of the United States Government under 35 U.S.C. § 200-212 and 37 CFR 401** in the Patents;

Now therefore, in consideration of other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the Assignor, **subject to the rights, if any, of the United States Government under 35 U.S.C. § 200-212 and 37 CFR 401**, hereby sells, assigns and transfers to the Assignee, all right, title and interest in and to the Patents, and the invention or inventions described therein, and all divisions and continuations thereof, including their corresponding right to claim priority from the Patents in any country or jurisdiction, including all their corresponding right, title and interest in and to any Patents which may issue therefrom, including all reissues, renewals and extensions thereof, and including all right to sue for past infringement thereunder, all the Patents to be held and enjoyed by the said Assignee to the full end of the term for which the Patents are granted, as fully and entirely as the said Patents could have been held and enjoyed by the said Assignor if this Assignment had not been made;

And the Assignor hereby covenants and agrees without further consideration, to communicate with Assignee, its successors and assigns, any facts known 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 any jurisdiction, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns;

And the Assignor hereby covenants that it has the full right to convey the interest assigned by this Assignment, subject to the rights, if any, of the United States Government under 35 U.S.C. § 200-212 and 37 CFR 401, and has not executed and will not execute any agreement in conflict with this Assignment;

And the Assignee hereby covenants that Assignor has received authorization from the United States Department of Energy to convey the interests assigned by this Assignment, as provided in the Appendix to this agreement.

[Signature block follows on subsequent page]

SIGNED at San Antonio, TX USA, this 14th day of December 2011,  
(City/Town) (Country) (Date) (Month), (Year)

Yolanda Benito  
(Signature of Witness)

Yolanda Benito

(Name of Witness: Please Print or Type)

Joseph Arrambide

Southwest Research Institute

Printed Name: Joseph Arrambide

Title: Chief Patent Counsel & Deputy General Counsel

SIGNED at HOUSTON, TX USA, this 14TH day of DEC. 2011,  
(City/Town) (Country) (Date) (Month), (Year)

Kelli Mowry  
(Signature of Witness)

Kelli Mowry

(Name of Witness: Please Print or Type)

Neeraj Bali

Dresser-Rand Company

Printed Name: NEERAJ BALI

Title: SENIOR COUNSEL - I.P.

**Appendix: Government Authorization to Assign**

## Garrett Atkinson

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**From:** Dvorscak, Mark <Mark.Dvorscak@ch.doe.gov>  
**Sent:** Monday, November 07, 2011 1:26 PM  
**To:** Garrett Atkinson  
**Cc:** Stacy Lanier; Alex Nolte; Bali, Neeraj (HOU)  
**Subject:** RE: SwRI transfer of IP (DOE Case No. S-122,564)

Garrett,

DOE approves assignment of the subject invention to Dresser-Rand. It is understood that Dresser-Rand agrees it is subject to the Intellectual Property provisions of the agreement under which the invention was made (DE-FC26-05NT42650).

Mark

### Mark P. Dvorscak

Deputy Chief Counsel, Intellectual Property Law Division  
U.S. Dept. of Energy, Chicago Office  
9800 S. Cass Ave. Argonne, IL 60439  
(630) 252-2393

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**From:** Garrett Atkinson [mailto:GAtkinson@edmondsnolte.com]  
**Sent:** Thursday, November 03, 2011 12:13 PM  
**To:** Dvorscak, Mark  
**Cc:** Stacy Lanier; Alex Nolte; Bali, Neeraj (HOU)  
**Subject:** RE: SwRI transfer of IP (DOE Case No. S-122,564)

Mark,

I have conferred with Dresser-Rand's Senior IP Counsel, Neeraj Bali, who is copied on this email. Mr. Bali confirms that Dresser-Rand, as a subcontractor to the Recipient of the Financial Assistance Award Agreement DE-FC26-05NT42650, Dresser-Rand acknowledges that it is subject to the Intellectual Property Provisions identified therein, including Government rights.

With regard to my previous mention of "patent applications," there are three: one US provisional application, one US utility application, and one PCT application. All three are directed to the same invention, referenced as DOE case no. S-122,564.

Please let me know if you require any further information.

Kind regards,  
Garrett Atkinson

Garrett Atkinson  
EDMONDS & NOLTE, PC  
281-480-2700 ext. 106

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**From:** Dvorscak, Mark [mailto:Mark.Dvorscak@ch.doe.gov]  
**Sent:** Wednesday, November 02, 2011 8:50 AM  
**To:** Garrett Atkinson  
**Subject:** RE: SwRI transfer of IP (DOE Case No. S-122,564)

Garrett,

Can you confirm, or have Dresser-Rand provide, confirmation that Dresser-Rand agrees that it is subject to the Intellectual Property provisions contained in the 42650 agreement, including Government rights? Once we have this agreement, we will approve assignment of the referenced invention, S-122,564, to Dresser-Rand. I note that your message indicates "applications". If there are additional inventions other than S-122,564, please let me know.

Thanks

Mark

**Mark P. Dvorscak**

Deputy Chief Counsel, Intellectual Property Law Division

U.S. Dept. of Energy, Chicago Office

9800 S. Cass Ave. Argonne, IL 60439

(630) 252-2393

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**From:** Garrett Atkinson [mailto:GAtkinson@edmondsnolte.com]

**Sent:** Tuesday, November 01, 2011 3:28 PM

**To:** Dvorscak, Mark

**Cc:** Alex Nolte; Stacy Lanier

**Subject:** SWRI transfer of IP (DOE Case No. S-122,564)

Mr. Dvorscak:

This communication is in regards to Cooperative Agreement No. DE-FC26-05NT42650; SWRI Project No. 18.11919; DOE Case No. S-122,564.

My firm represents Dresser-Rand in intellectual property matters. Dresser-Rand is currently funding various research and development efforts in coordination with the Southwest Research Institute ("SWRI"), and it is in furtherance of these efforts that we are contacting you.

SWRI has an award agreement with DOE/NETL, which is attached. As a nonprofit, SWRI has elected to retain title to the patent applications for certain inventions derived from the project that the award agreement partially funded. SWRI is now seeking to assign its intellectual property rights, including these patent applications, to Dresser-Rand, subject, of course, to the Government's rights. Our understanding is that SWRI requires DOE authorization to proceed with such an assignment.

We have contacted several DOE employees regarding this matter, with your name coming to us most recently. If you are able, could you please help us begin the process of obtaining Government authorization for SWRI to assign its rights? If not, we would be grateful for any information you might have that would point us toward someone with such information and authority. We appreciate your consideration.

If you have any questions or require additional information, please do not hesitate to contact me at the address or phone number provided below.

Kind regards,  
Garrett Atkinson

**Garrett Atkinson**



10411 Westheimer Rd., Suite 201  
Houston, Texas 77042



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