

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
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<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT	
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT	
<b>CONVEYING PARTY DATA</b>		
	<b>Name</b>	<b>Execution Date</b>
	SIEMENS WIND POWER A/S	05/13/2014
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	SIEMENS AKTIENGESELLSCHAFT	
<b>Street Address:</b>	WITTELSBACHERPLATZ 2	
<b>City:</b>	80333 MÜNCHEN	
<b>State/Country:</b>	GERMANY	
<b>PROPERTY NUMBERS Total: 1</b>		
	<b>Property Type</b>	<b>Number</b>
	<b>Application Number:</b>	14354179
<b>CORRESPONDENCE DATA</b>		
<b>Fax Number:</b>	(518)220-1857	
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>		
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<b>ATTORNEY DOCKET NUMBER:</b>	80000.00040-NY	
<b>NAME OF SUBMITTER:</b>	ARLEN L. OLSEN	
<b>SIGNATURE:</b>	/ARLEN L. OLSEN/	
<b>DATE SIGNED:</b>	05/28/2014	
<b>Total Attachments: 4</b>		
source=00040_AssignmentUSComp2Comp#page1.tif		
source=00040_AssignmentUSComp2Comp#page2.tif		
source=00040_Form3_73b#page1.tif		
source=00040_Form3_73b#page2.tif		

ASSIGNMENT OF RIGHTS  
Company to Company

WHEREAS, **Siemens Wind Power A/S** ( Hereafter "Assignor") and **Siemens Aktiengesellschaft** (hereinafter "Assignee") (individually referred to as "Party" and collectively as "Parties")

Hereby, (I)(A) acknowledge they have entered into certain agreements (hereinafter referred to as "the Agreements") which set forth certain rights, limitations and obligations regarding inventions developed by or among Parties, and/or Intellectual Property owned by one or both of the Parties and the Parties agree that the terms of the Agreements apply to any and all inventions; or

(B)(i) Agree to the extent such Agreement(s) or similar legal document(s) failed or fails, in whole or part, to have assigned, sold or transferred the entire right (including priority rights), title and interest, in and for the United States and all foreign countries, in and to all inventions which are disclosed in an invention disclosure and/or in the below-identified application or application already filed for Letters Patent, or (ii) if no such agreement(s) exist assigning, selling or transferring any such right (including priority rights), title or interest; then for good and valuable consideration, Assignor now and hereby, effective Nunc Pro Tunc on the filing date of the below identified patent application(s), pending patent application(s) or granted Letter Patent(s), assigns, sell and transfers to Assignee, its successors, assigns and legal representatives, the entire right, (including all priority rights), title and interest in and for the United States and all foreign countries, in and to any and all inventions and improvements which are disclosed in the following identified; patent application(s), pending patent application(s) or granted Letter Patent(s) which are disclosed in the application for Letters Patent or granted patent, entitled:

Patent Application Title: **Bearing arrangement for a wind turbine**  
Filing Date (MM/DD/YYYY): **04/12/2012**  
Filing Number: **PCT/EP2012/056669**  
Internal Case Number(s): **2012P00442WOUS**

and in and to said application or granted patents and all applications claiming priority to said application or granted patent, including, without limitation, and all divisional, continuing, substitute, renewal, reissue, and all other applications for Letters Patent which have been or shall be filed in the United States and all foreign countries on any of the inventions or improvements; and in and to all original and reissued patents which have been or shall be filed in the United States and all foreign countries on the inventions or improvements;

(II) Agree that the Assignee may apply for and receive Letters Patent for said improvements in its own name; and that, when requested, without charge to but at the expense of said Assignee, its successors, assigns and legal representatives, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all the inventions or improvements; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignee, its successors, assigns, and legal representatives, all facts known to the undersigned relating to the inventions or improvements and the history thereof; and generally do everything possible which said Assignee, its successors, assigns or legal representatives shall consider desirable for aiding in securing and maintaining proper patent protection for the inventions or improvements and for vesting title to



the inventions or improvements and all applications for patents and all patents on the inventions or improvements, in said Assignee, its successors, assigns and legal representatives; and

(III) Covenant with said Assignee, its successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property

herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

The Parties acknowledge and agree that the inventor(s) may have previously assigned its rights (including all and any priority rights) in one or more above-referenced applications for Letters Patents directly to a Party as directed by the other Party, consistent with the Agreements. Any such directed assignment shall remain in full force and effect and shall take precedence over this Assignment to the extent any conflict exists.

**Siemens Wind Power A/S**



Signature(s)  

Name(s) Aspacher Fritsch

Title Both authorized officers

Date May 13, 2014

**Siemens Aktiengesellschaft**

Signature(s)  

Name(s) Klinger Hashuber

Title Both authorized officers

Date May 14, 2014

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: SIEMENS AKTIENGESELLSCHAFT

Application No./Patent No.: 14354179 Filed/Issue Date: 04/25/2014

Titled: BEARING ARRANGEMENT FOR A WIND TURBINE

SIEMENS AKTIENGESELLSCHAFT, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title, and interest in  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

the patent application/patent identified above, by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy therefore is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: John Nieuwenhuizen To: SIEMENS WIND POWER A/S

The document was recorded in the United States Patent and Trademark Office at  
Reel 032964, Frame 0374, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet(s).

- ☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Arlen L. Olsen/

Signature

2014-05-28

Date

Arlen L. Olsen

Printed or Typed Name

Attorney - Reg. No. 37,543

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

**PATENT**

**REEL: 032973 FRAME: 0557**

## Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (*i.e.*, GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.