

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT4527027

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT	
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT	
<b>CONVEYING PARTY DATA</b>		
	<b>Name</b>	<b>Execution Date</b>
	ALAN K. RICHARDS	04/27/2017
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	GRILLO CHEMIE GMBH	
<b>Street Address:</b>	WESELER STRASSE 1	
<b>City:</b>	DUISBURG	
<b>State/Country:</b>	GERMANY	
<b>Postal Code:</b>	47169	
<b>PROPERTY NUMBERS Total: 1</b>		
<b>Property Type</b>	<b>Number</b>	
<b>Application Number:</b>	15036215	
<b>CORRESPONDENCE DATA</b>		
<b>Fax Number:</b>	(763)571-5157	
<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>		
<b>Phone:</b>	763-412-3824	
<b>Email:</b>	patents@cfid-ip.com	
<b>Correspondent Name:</b>	CURTIS B. HERBERT, PH.D.	
<b>Address Line 1:</b>	CHRISTENSEN, FONDER, DARDI & HERBERT PLLC	
<b>Address Line 2:</b>	1250 EAST MOORE LAKE DRIVE, SUITE 205	
<b>Address Line 4:</b>	FRIDLEY, MINNESOTA 55432	
<b>ATTORNEY DOCKET NUMBER:</b>	3581.80US01	
<b>NAME OF SUBMITTER:</b>	CURTIS B. HERBERT	
<b>SIGNATURE:</b>	/Curtis B. Herbert/	
<b>DATE SIGNED:</b>	07/31/2017	
<b>Total Attachments: 2</b>		
source=Legal_Opinion_Assignment#page1.tif		
source=Legal_Opinion_Assignment#page2.tif		



RECHTSANWÄLTE DR. MÜLLER-PEDDINGHAUS, Fuldastraße 24-26, D-47051 Duisburg



Grillo-Werke AG  
Herrn Dr. Christian Ohm  
Weseler Straße 1  
47169 Duisburg

DR. PETER MÜLLER-PEDDINGHAUS  
RECHTSANWALT  
FACHANWALT FÜR STEUERRECHT  
FACHANWALT FÜR HANDELS- UND  
GESELLSCHAFTSRECHT  
MEDIATOR

PHILIPP BINGER ★  
RECHTSANWALT  
FACHANWALT FÜR HANDELS- UND  
GESELLSCHAFTSRECHT

URBAN HESSLING  
RECHTSANWALT  
FACHANWALT FÜR STEUERRECHT  
NOTAR

Fuldastraße 24 - 26  
D-47051 Duisburg  
Telefon: +49 203 348397-0  
Telefax: +49 203 348397-10  
zentrale@mueller-peddinghaus.de  
www.mueller-peddinghaus.de  
USt-IdNr.: DE242136615B

IHR SCHREIBEN VOM

IHR ZEICHEN

UNSER ZEICHEN  
152/16 MP09 DrPMP

DUISBURG, DEN  
27. April 2017

**Grillo-Werke AG/Grillo Chemie GmbH**  
**Right to commercial inventions – Patent filing**

To whom it may concern!

We have been asked by Grillo-Werke AG to give a brief written opinion upon the legal situation in regard to the rights concerning employee's inventions in connection with filing of patents.

The right to employee's inventions is codified in the "Gesetz über Arbeitnehmererfindungen (ArbnErfG)", Code of law regarding employee's inventions, a federal law in Germany. According to § 13 ArbnErfG the employer is solely entitled to file patents in Germany regarding employee's inventions, if the invention has been made at the workplace. Employee's assistance or signature are not necessary. The same applies according to § 14 ArbnErfG for the filing of patents abroad. The employee has no own right file such patent unless the invention has been released to him by the employer in written form (§ 8 ArbnErfG). These rules are unalienable right (§ 22 ArbnErfG), so no deviation in favor of employee is permitted.

In the particular case of US patent filing 15/036215 the underlying invention had been made by several employees of Grillo Chemie GmbH a fully-owned subsidiary of Grillo-Werke AG. One of these employees amongst others was Mr. A. Richards, who at that time worked as counselor for this project. Thus he falls under the rules of the ArbnErfG. Since a release of the invention has not been made, the sole proprietor of

Deutsche Bank  
SWIFT (BIC) DEUTDE33  
IBAN DE62310700240612899500

DKB Deutsche Kreditbank AG  
SWIFT (BIC) BYLADEM1001  
IBAN DE22120300001031602400

★ Freie Mitarbeit  
:



this invention is Grillo Chemie GmbH. In consequence it is the sole right of Grillo Chemie GmbH to file any patent regarding this invention at their discretion. Assistance of Mr. A. Richards to do so is not required.

In the light of these circumstances Mr. A. Richards participation by signature in said patent filing would be obsolete according to German Law, since the sole right to file the patent lies with Grillo Chemie GmbH.

In addition Mr. A. Richards is bound by contractual stipulations. Part of the former contractual connection between Mr. A. Richards and Grillo-Werke AG had been a License Agreement. In this Agreement the parties stipulated in "§ 4 Future Expertise" that *Rights on new inventions will be held within NewCo [now Grillo Chemie GmbH] or METHION [now Mr. A. Richards] depending on the Inventor(s). When the Inventor(s) reside within NewCo, the Intellectual Property will reside within NewCo.* Since all steps of the invention were made within Grillo Chemie GmbH and by people working for this company, the rights on this invention lie with Grillo Chemie GmbH only. Hence participation by Mr. A. Richards in the filing is not required.

In case further explanation or presentation of documents is requested please do not hesitate to contact us.

A handwritten signature in black ink, appearing to be 'PM', written over a horizontal line.

Dr. Peter Müller-Peddinghaus  
Rechtsanwalt | Fachanwalt für Steuerrecht  
Fachanwalt für Handels- und Gesellschaftsrecht  
Mediator