

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT4918140

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
ZHENCAI ZHU	04/05/2017
GUOHUA CAO	04/05/2017
YANDONG WANG	04/05/2017
LU YAN	04/05/2017
WEIHONG PENG	04/05/2017
YUXING PENG	04/05/2017
GONGBO ZHOU	04/05/2017
WEI LI	04/05/2017
GANG SHEN	04/05/2017
RECEIVING PARTY DATA	
Name:	CHINA UNIVERSITY OF MINING AND TECHNOLOGY
Street Address:	NO. 1 UNIVERSITY ROAD
Internal Address:	SCIENCE ACADEMY OF CHINA UNIVERSITY OF MININGAND TECHNOLOGY
City:	XUZHOU
State/Country:	CHINA
Postal Code:	221116
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	15520478
CORRESPONDENCE DATA	
Fax Number:	
<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>	
Phone:	+2129996180
Email:	jonathan.agmon@ip-law.legal
Correspondent Name:	SOROKER AGMON NORDMAN PTE LTD
Address Line 1:	133 NEW BRIDGE ROAD, #13-02
Address Line 4:	SINGAPORE, SINGAPORE 059413
ATTORNEY DOCKET NUMBER:	13082US

NAME OF SUBMITTER:	DANIEL SCHATZ
SIGNATURE:	/DANIEL SCHATZ/
DATE SIGNED:	04/17/2018
	This document serves as an Oath/Declaration (37 CFR 1.63).
Total Attachments: 8 source=13082US_Statement+Assignment#page1.tif source=13082US_Statement+Assignment#page2.tif source=13082US_Statement+Assignment#page3.tif source=13082US_Statement+Assignment#page4.tif source=13082US_Statement+Assignment#page5.tif source=13082US_Statement+Assignment#page6.tif source=13082US_Statement+Assignment#page7.tif source=13082US_Statement+Assignment#page8.tif	

STATEMENT UNDER 37 CFR 3.73(c)

Applicant/Patent Owner: CHINA UNIVERSITY OF MINING AND TECHNOLOGY

Application No./Patent No.: _____ Filed/Issue Date: _____

Titled: A HORIZONTALLY MOVABLE VERTICAL SHAFT ROPE GUIDE AND REGULATING METHOD THEREOF
CHINA UNIVERSITY OF MINING AND TECHNOLOGY, a University

(Name of Assignee)

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

states that, for the patent application/patent identified above, it is (choose **one** of options 1, 2, 3 or 4 below):

1. ☒ The assignee of the entire right, title, and interest.
2. ☐ An assignee of less than the entire right, title, and interest (check applicable box):
- ☐ The extent (by percentage) of its ownership interest is ____%. Additional Statement(s) by the owners holding the balance of the interest must be submitted to account for 100% of the ownership interest.
- ☐ There are unspecified percentages of ownership. The other parties, including inventors, who together own the entire right, title and interest are:

Additional Statement(s) by the owner(s) holding the balance of the interest must be submitted to account for the entire right, title, and interest.

3. ☐ The assignee of an undivided interest in the entirety (a complete assignment from one of the joint inventors was made). The other parties, including inventors, who together own the entire right, title, and interest are:

Additional Statement(s) by the owner(s) holding the balance of the interest must be submitted to account for the entire right, title, and interest.

4. ☐ The recipient, via a court proceeding or the like (e.g., bankruptcy, probate), of an undivided interest in the entirety (a complete transfer of ownership interest was made). The certified document(s) showing the transfer is attached.

The interest identified in option 1, 2 or 3 above (not option 4) is evidenced by either (choose **one** of options A or B below):

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

1. 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.

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.

[Page 1 of 2]

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.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

STATEMENT UNDER 37 CFR 3.73(c)

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.

4. 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.

5. 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.

6. 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(c)(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.

/DANIEL SCHATZ/

2017-04-20

Signature

Date

DANIEL SCHATZ

59537

Printed or Typed Name

Title or Registration Number

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.

ASSIGNMENT OF PATENT APPLICATION

Whereas We, Zhencai ZHU, Guohua CAO, Yandong WANG, Lu YAN, Weihong PENG, Yuxing PENG, Gongbo ZHOU, Wei LI, and Gang SHEN, citizens of China (hereinafter: the "Assignors") are co-inventors of a certain invention entitled **A HORIZONTALLY MOVABLE VERTICAL SHAFT ROPE GUIDE AND REGULATING METHOD THEREOF** (hereinafter: the "Invention"), desirous to transfer the entire right, title and interest in and to (1) the Invention, (2) any and all patent applications filed on the invention in any country or jurisdiction worldwide, including but not limited to: (2.1) a Patent Application filed in China No. 201510886217.1 on December 4, 2015; (2.2) a PCT Application No. PCT/CN2015/099313 filed on December 29, 2015; (2.3) a United States Patent Application filed herewith (hereinafter: the "Patent Applications"); and, (3) to any and all patents which may be granted on the Patent Applications in any country or jurisdiction worldwide (hereinafter: the "Patents");

And whereas **CHINA UNIVERSITY OF MINING AND TECHNOLOGY** a corporation organized under and existing by virtue of the laws of the State of China, and having a place of business at **Science Academy of China University of Mining and Technology No. 1, University Road, Xuzhou, Jiangsu 221116, CHINA** (hereinafter: the "Assignee") is desirous of acquiring the entire right, title and interest in and to the Invention, the Patent Applications and the Patents;

Now, therefore, in consideration of the sum of one dollar (\$1.00), and other good and valuable consideration the receipt of which is hereby acknowledged, the Assignors, by these presents, do hereby sell, assign and transfer unto the Assignee the entire right, title and interest in and to (1) the Invention; (2) the Patent Applications; (3) the Patents; (4) any and all divisional, continuation, continuation-in-part, substitute, and reissue applications for Letters Patent resulting from any of the Patent Applications including all priority rights under the Patent Cooperation Treaty (PCT) an International Convention, and all other International Conventions (hereinafter: the "Related Applications").

The Assignors agree that, when requested, without charge to but at the expense of the Assignee, the Assignor's successors, assigns and legal representatives, in order to carry out in good faith the intent and purpose of this assignment, shall apply for and execute all original, divisional, continuing, continuing-in-part, substitute or reissue patent applications for the

Invention; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to the Assignee, its successors, assigns, and representatives, all facts known to the Assignors relating to the Invention and/or any Patent Applications and/or any Patents and/or any Related Applications; and generally do everything possible which the Assignee, its successors, assigns or representatives shall consider desirable for aiding in securing and maintaining proper patent protection for the Invention and for vesting title in and to the Invention and in and to any and all applications for patents thereon in the Assignee, its successors, assigns and legal representatives.

The Assignors hereby request and authorize the United States Patent and Trademark Office and any and all official patent authorities worldwide, to issue Letters Patent on the Patent Applications, and Letters Patent on any and all Related Applications, to the Assignee as the assignee of the entire right, title, and interest in and to the same, for the Assignee's sole use and benefit, and for the use and benefit of the Assignee's legal representatives, to the full end of the term for which said Letters Patent may be granted, as fully and entirely as the same would have been held by the Assignors had this assignment and sale not been made.

Executed by us on the below indicated beside our signatures.

Zhencai ZHU
Science Academy of China University
of Mining and Technology No. 1,
University Road
Xuzhou, Jiangsu 221116
CHINA

Signature:

Date:

Zhencai ZHU

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Ting Liu

Ting Liu

Apr 5, 2017

Guohua CAO
Science Academy of China University
of Mining and Technology No. 1,
University Road
Xuzhou, Jiangsu 221116
CHINA

Signature:

Date:

Guohua CAO

April 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Ting Liu

Ting Liu

Apr 5, 2017

Yandong WANG
Science Academy of China University
of Mining and Technology No. 1,
University Road
Xuzhou, Jiangsu 221116
CHINA

Signature:

Date:

Yandong WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Ting Liu

Ting Liu

Apr 5, 2017

Lu YAN
Science Academy of China University
of Mining and Technology No. 1,
University Road
Xuzhou, Jiangsu 221116
CHINA

Signature:

Date:

Lu Yan

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Ting Liu

Ting Liu

Apr 5, 2017

WeiHong PENG
Science Academy of China University
of Mining and Technology No. 1,
University Road
Xuzhou, Jiangsu 221116
CHINA

Signature:

Date:

WeiHong PENG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Ting Liu

Ting Liu

Apr 5, 2017

Yuxing PENG
Science Academy of China University
of Mining and Technology No. 1,
University Road
Xuzhou, Jiangsu 221116
CHINA

Signature:

Date:

Yuxing PENG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Ting Liu

Ting Liu

Apr 5, 2017

Gongbo ZHOU
Science Academy of China University
of Mining and Technology No. 1,
University Road
Xuzhou, Jiangsu 221116
CHINA

Signature:

Date:

Gongbo ZHOU

April 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Ting Liu

Ting Liu

Apr 5, 2017

PATENT

REEL: 045556 FRAME: 0686

Wei LI
Science Academy of China University
of Mining and Technology No. 1,
University Road
Xuzhou, Jiangsu 221116
CHINA

Signature:

Date:

Wei LI

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Ting Liu

Ting Liu

Apr 5, 2017

Gang SHEN
Science Academy of China University
of Mining and Technology No. 1,
University Road
Xuzhou, Jiangsu 221116
CHINA

Signature:

Date:

Gang SHEN

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Ting Liu

Ting Liu

Apr 5, 2017

ASSIGNEE:

**CHINA UNIVERSITY OF MINING
AND TECHNOLOGY**
CHINA

Name & Title:

Signature:

Date:

Liangun ZHANG & IP Leader

Liangun ZHANG

Apr 5, 2017

Witness Name:

Signature of Witness:

Date:

Peng WANG

Peng WANG

Apr 5, 2017