

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT6264968

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
HARRY W. TROST	09/16/2013
STEVEN G. SLESINSKI	08/20/2020
RECEIVING PARTY DATA	
Name:	DANA HEAVY VEHICLE SYSTEMS GROUP, LLC
Street Address:	3939 TECHNOLOGY DRIVE, P.O. BOX 1000
City:	MAUMEE
State/Country:	OHIO
Postal Code:	43537
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	17001271
CORRESPONDENCE DATA	
Fax Number:	(971)271-8021
<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:	9712718020
Email:	MCRdanapatents@mccrus.com
Correspondent Name:	MCCOY RUSSELL LLP
Address Line 1:	806 SW BROADWAY, SUITE 600
Address Line 4:	PORTLAND, OREGON 97205
ATTORNEY DOCKET NUMBER:	DAN193207/10562 CVDA
NAME OF SUBMITTER:	MARIE DOSICK
SIGNATURE:	/Marie Dosick/
DATE SIGNED:	08/24/2020
Total Attachments: 5	
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source=Assignment_DAN193207#page4.tif	
source=Assignment_DAN193207#page5.tif	

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**SUBSTITUTE STATEMENT IN LIEU OF AN OATH OR DECLARATION FOR UTILITY
OR DESIGN PATENT APPLICATION (35 U.S.C. 115(d) AND 37 CFR 1.64)**

Title of Invention	ELECTRIC PROPULSION SYSTEM		
This statement is directed to:			
<input type="checkbox"/> The attached application,			
OR			
<input checked="" type="checkbox"/> United States application or PCT international application number <u>17/001,271</u> filed on <u>August 24, 2020</u> .			
LEGAL NAME of inventor to whom this substitute statement applies:			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Harry W. TROST			
Residence (except for a deceased or legally incapacitated inventor):			
City	Royal Oak	State	MI
Country	USA		
Mailing Address (except for a deceased or legally incapacitated inventor):			
4502 Sedgemoor			
City	Royal Oak	State	MI
Zip	48073	Country	USA
I believe the above-named inventor or joint inventor to be the original inventor or an original joint inventor of a claimed invention in the application.			
The above-identified application was made or authorized to be made by me.			
I hereby acknowledge that any willful false statement made in this statement is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.			
Relationship to the inventor to whom this substitute statement applies:			
<input type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only),			
<input checked="" type="checkbox"/> Assignee,			
<input type="checkbox"/> Person to whom the inventor is under an obligation to assign,			
<input type="checkbox"/> Person who otherwise shows a sufficient proprietary interest in the matter (petition under 37 CFR 1.46 is required), or			
<input type="checkbox"/> Joint Inventor.			

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. 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 1 minute 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.

PATENT
REEL: 053578 FRAME: 0881

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.

SUBSTITUTE STATEMENT

Circumstances permitting execution of this substitute statement:

- ☐ Inventor is deceased.
- ☐ Inventor is under legal incapacity.
- ☒ Inventor cannot be found or reached after diligent effort, or
- ☐ Inventor has refused to execute the oath or declaration under 37 CFR 1.63.

If there are joint inventors, please check the appropriate box below:

- ☒ An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) naming the entire inventive entity has been or is currently submitted.
- OR
- ☐ An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) has not been submitted. Thus, a Substitute Statement Supplemental Sheet (PTO/AIA/11 or equivalent) naming the entire inventive entity and providing inventor information is attached. See 37 CFR 1.64(b).

WARNING:

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

Name: Joseph H. Heckendorn Date (Optional): _____

Signature: [Signature]

APPLICANT NAME AND TITLE OF PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

If the applicant is a juristic entity, list the applicant name and the title of the signer:

Dana Heavy Vehicle Systems Group, LLC

Applicant Name:

Title of Person Executing
This Substitute Statement: Secretary

The signer, whose title is supplied above, is authorized to act on behalf of the applicant.

Residence of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent):

City _____ State _____ Country _____

Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent)

City _____ State _____ Zip _____ Country _____

Note: Use an additional PTO/AIA/02 form for each inventor who is deceased, legally incapacitated, cannot be found or reached after diligent effort, or has refused to execute the oath or declaration under 37 CFR 1.63.



Dana Recruiting
(419) 322-7020

EMPLOYEE INVENTION AND DISCLOSURE AGREEMENT

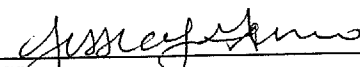
In consideration of my employment by Dana Holding Corporation or one of its subsidiaries (collectively referred to herein as "Dana"), I acknowledge and hereby agree that all of the results of my employment, including all works, inventions, improvements, and discoveries which are authored, conceived, suggested, invented, made or discovered by me during or as a result of my employment with Dana whether or not on the premises of Dana or during working hours, and which in any way relate to products, machines, tools, processes or methods manufactured, marketed, designed, developed, investigated or tested by Dana at any time before or during my employment by Dana, or to similar products, devices, machines, tools, process or methods, are without further consideration hereby irrevocably assigned to Dana.

I further agree to promptly notify Dana in writing of any such work, invention, improvement, or discovery, and upon request during the term of such employment or at any time thereafter, to promptly execute all documents which Dana considers necessary, proper or helpful in making application for Letters Patent, copyright or any other form of intellectual property protection in the United States and other countries on any such work, invention, improvement, or discovery, or to evidence Dana's ownership of or vest the entire right, title and interest in any such work, invention, improvement, or discovery or application for intellectual property protection therefore, to Dana, and to assist in any litigation or controversy connected therewith.

I further agree that I will not, either during or at any time after my employment by Dana, use or disclose to any third party any confidential information, including without limitation, technical, financial, marketing, and other business information known to or created by me as a result of my employment by Dana.

All fields marked with a ** must be completed for identification purposes.

**Witness (only one witness signature
required - your Supervisor or HRBP)**


Witness

Accepted:


Signature

Harry W. Trost
Printed Name**

9/16/2013
Date

NOTICE TO EMPLOYEES LIVING IN ILLINOIS: This agreement does not apply to an invention for which no equipment, supplies, facility or trade secret information of the employer was used and which was developed entirely on the employee's own time, unless (a) the invention relates (i) to the business of the employer, or (ii) to the employer's actual or demonstrably anticipated research or development, or (b) the invention results from any work performed by the employee for the employer.

NOTICE TO EMPLOYEES LIVING IN CALIFORNIA: This agreement does not apply to an invention which qualifies fully under the provisions of Division 3, Chapter 2, Section 2870 of the California Labor Code, which reads as follows: "Any provision in an employment agreement which provides that an employee shall assign or offer to assign any of his or her rights in any invention to his or her employer shall not apply to an invention for which no equipment, supplies, facility or trade secret information of the employer was used and which was developed entirely on the employee's own time, and (a) which does not relate (1) to the business of the employer, or (2) to the employer's actual or demonstrably anticipated research or development, or (b) which does not result from any work performed by the employee for the employer. Any provision which purports to apply to such an invention is to that extent against the public policy of this state and is to that extent void and unenforceable."



**DANA FACILITIES AND SAFETY
POLICIES AND PROCEDURES REVIEW**

The orientation is presented to provide you with information about your work with the Company. The Company reserves the right to revise, discontinue, suspend, or modify any of the policies/procedures at any time and at its sole discretion.

I, (print your name) Harry Trost, have reviewed the Company's policies and procedures during orientation. I understand that it is my responsibility to read and understand the policies outlined. I also understand that the Company has the right to revise, discontinue, suspend or modify any of the policies contained at Dana at any time at its sole discretion, and that all such changes will be binding upon all employees.

*****The policies/procedures noted below are located within your on-boarding manual under the Facilities tab*****

Policies/Procedures reviewed:

- ☒ Quality Policy
- ☒ Safety/Environmental Policy
- ☒ Emergency Response Procedures (Fire/Severe Weather/Bomb Threat/Workplace Violence)

Please check below your employee classification:

- ☒ Dana Full/Part-Time Employee
- ☒ Dana Co-Op Student
- ☒ Self-Employed Contract Employee
- ☒ Temporary Employee paid through an Agency

Signature

Harry M. Trost

Date

9/16/2013

Please direct all correspondence to: 165699

Attorney Docket Number DAN193207/10562 CVDA

ASSIGNMENT AND DECLARATION (37 C.F.R. 1.63) FOR UTILITY, PROVISIONAL OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 C.F.R. 1.76)

Title of Invention ELECTRIC PROPULSION SYSTEM

This declaration is directed to:



The attached application, or
United States application or PCT international application number

_____ filed on _____. (I hereby authorize the insertion of the application filing date and number into this form when they become known.)

The above-identified application was made or authorized to be made by me.

I hereby state that I have reviewed and understand the contents of the specification in the above-identified application, including the claims.

I believe that I am the original inventor or an original joint inventor of a claimed invention in the application.

I am aware of the duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

Pursuant to my employment agreement heretofore made or by contractual obligation, I do sell, assign and set over unto Dana Heavy Vehicle Systems Group, LLC, a Dana Incorporated subsidiary, organized and existing by virtue of the laws of the State of Delaware, having its principal place of business at Maumee, County of Lucas, and State of Ohio, hereinafter referred to as the ASSIGNEE, its successors, assigns or other legal representatives, the entire right, title and interest, domestic and foreign, in and to the inventions and discoveries in the above-identified invention including the right of the ASSIGNEE, its successors, assigns or other legal representatives to make applications and to receive Letters Patent for the inventions and discoveries in any and all countries, entities and intergovernmental organizations, in its or their own name or names, or in my name, at its or their election (and I hereby authorize the ASSIGNEE or ASSIGNEE's attorney to insert the serial/application number and filing date of the application to receive Letters Patent herein: Serial No. 17/001,271, Filing Date August 24, 2020), and I hereby sell, assign and set over to the ASSIGNEE, its successors, assigns or other legal representatives, all rights of priority, including any provisional applications, in and to the inventions and discoveries in any and all countries, entities and intergovernmental organizations including all applications claiming benefit of the filing date hereof, continuations, continuations-in-part, divisionals, reexaminations and reissue applications.

And I hereby agree for myself, my heirs, successors, assigns or other legal representatives to execute any and all papers, including applications for Letters Patent of any and all kinds and in any and all countries, entities and intergovernmental organizations, and to perform any and all acts which the ASSIGNEE, its successors, assigns or other legal representatives may deem necessary to secure thereto the rights herein sold, assigned and set over.

And I hereby represent and warrant that I have not granted any rights inconsistent with the rights granted herein.

I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years or both.

LEGAL NAME OF INVENTOR

Inventor: Steven G. SLESINSKI

Date: August 20, 2020

Signature:

Steven G. Slesinski

Note: An Application Data Sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form. Use an additional declaration form for each additional inventor.