

12-15-2004

FILE NO. A36348 - 071956.0107

U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeMRD  
12/13/04 RECORDATION FORM C  
PATENTS O

102901373

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies): <b>BLOCHWITZ-NIMOTH, Jan; SORIN, Gildas</b> Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		2. Name and address of receiving party(ies) Name: <b>NovaLED GmbH</b>  Address: <b>Zellerscher Weg 17</b>  City: <b>Dresden</b> State:                      Zip: <b>01069</b> Additional name(s) and address(es) attached? Country: <b>Germany</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
3. Nature of conveyance:  <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name  <input type="checkbox"/> Other:		Execution Date: <b>Nov. 19 and Nov. 26, 2004</b>	
4. Application number(s) or patent number(s)  If this document is being filed together with a new application, the execution date of the application is A. Patent Application No.(s) <b>10/928,976, filed August 27, 2004</b> B. Patent No.(s)			
Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
5. Name and address of party to whom correspondence concerning document should be mailed:  Name: <b>Paul D. Ackerman, Esq.</b>  <b>BAKER BOTTS L.L.P.</b> <b>30 Rockefeller Plaza - 44 Fl.</b> <b>New York, NY 10112</b>		6. Total number of applications and patents involved: <b>1</b>  7. Total fee (37 CFR 3.41): <b>\$ 40.00</b> <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Authorized to be charged to deposit account  8. Deposit account number : <b>02-4377 (Charge any additional fees to this account)</b> (Attach duplicate copy of this page if paying by deposit account)	
DO NOT USE THIS SPACE			
9. Statement and signature  <i>To the best of my knowledge and belief, the foregoing instrumentation is true and correct and any attached copy is a true copy of the original document.</i>  <div style="display: flex; justify-content: space-between;"> <div> Paul D. Ackerman, PTO Reg. #39,891  Name of Person Signing </div> <div>   Signature </div> <div> Dec. 10, 2004  Date </div> </div>			
Page <u>1</u> of <u>2</u> Total number of pages including cover sheet, attachments and document: <b>5</b>			

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PATENT  
REEL: 016065 FRAME: 0979

A S S I G N M E N T

WHEREAS, WE, JAN BLOCHWITZ-NIMOTH and GILDAS SORIN, citizens of Germany, whose post office addresses are Hospitalstr. 3, 01097 Dresden, Germany and Wolfshügelstrasse 7, 01324 Dresden, Germany, respectively, have made an invention entitled "LIGHT-EMITTING COMPONENT AND PROCESS FOR ITS PREPARATION", as set forth and described in U.S. Patent Application, Serial No. 10/928,976, filed August 27, 2004, and

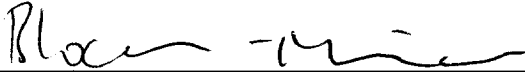
WHEREAS, NovaLED GmbH, a corporation organized and existing under the laws of Germany, and having an office for the transaction of business at Zellescher Weg 17, 01069 Dresden, Germany, is desirous of acquiring the entire right, title and interest in and to said invention and any improvements thereon, and in and to the said application for Letters Patent therefor, and any Letters Patent which may be obtained therefor;


NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, BE IT KNOWN, that WE, the said JAN BLOCHWITZ-NIMOTH and GILDAS SORIN, for and in consideration of the sum of One Dollar (\$1.00), lawful money of the United States, to us in hand paid by said NovaLED GmbH, and other valuable considerations unto us moving from said NovaLED GmbH, at or before the ensealing and delivery of these presents, the receipt of which is hereby acknowledged, have sold, assigned, transferred and conveyed and by these presents do sell, assign, transfer and convey, unto said NovaLED GmbH, its successors and assigns, the entire right, title and interest in and to the said invention entitled "LIGHT-EMITTING COMPONENT AND PROCESS FOR ITS PREPARATION", as set forth and described in U.S. Patent Application, Serial No. 10/928,976, filed August 27, 2004, and any and all improvements thereon, and in and to said application and any division, continuation or continuation-in-part thereof, and in and to any Letters Patent of the United States which may be issued on any of said applications, and any reissues thereof, and in and to any and all applications for Letters Patent filed in foreign countries for said invention or improvements, including all priority rights under the Paris Convention, and any and all Letters Patent which may be granted in foreign countries therefor, TO HAVE AND TO HOLD THE SAME to the full end of the term or terms for which any and all said Letters Patent may be granted;

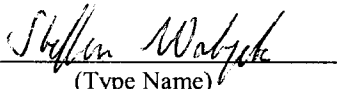
AND WE, the said JAN BLOCHWITZ-NIMOTH and GILDAS SORIN, do hereby authorize and request the Commissioner of Patents and Trademarks to issue the said Letters Patent of the United States to said NovaLED GmbH, as the assignee of the entire right, title and interest in and to the same, for the sole use and behoof of said NovaLED GmbH, its successors and assigns;

AND WE, the said JAN BLOCHWITZ-NIMOTH and GILDAS SORIN, for the considerations aforesaid, do hereby covenant and agree to and with said NovaLED GmbH, its successors and assigns, that we have the full power to make this assignment, and that the rights assigned are not encumbered by any grant, license or right heretofore given, and that we, my executors or administrators, shall and will do all lawful acts and things and make, execute and deliver without further compensation, any and all other instruments in writing, further applications, papers, affidavits, powers of attorney, assignments, and other documents which, in the opinion of counsel for said NovaLED GmbH, its successors and assigns, may be required or necessary to more effectively secure to and vest in said NovaLED GmbH, its successors and assigns, the entire right, title and interest in and to said invention and improvements, applications, Letters Patent, rights, benefits, privileges and advantages hereby sold, assigned, transferred and conveyed, and that we will sign any applications for reissue which may be desired by the owner of the patent or patents which may be issued for the said invention or improvements.

Subscribed and executed at Dresden  
(Place)  
on 19.11.04  
(Date)

  
JAN BLOCHWITZ-NIMOTH

Witness:   
(Type Name)  
YIJIAN TANG

Witness:   
(Type Name)  
STEFFEN WATZEK

Subscribed and executed at Dresden  
(Place)

on 26-11-04.  
(Date)

  
GILDAS SORIN

Witness: Ronsdorf  
(Type Name) Sabine Ronsdorf

Witness: Yijian Tang  
(Type Name) YIJIAN TANG

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$40

## Complete if Known

Application Number 10/928,976  
Filing Date August 27, 2004  
First Named Inventor Jan Blochwitz-Nimoth  
Examiner Name (Not Yet Assigned)  
Art Unit 2879  
Attorney Docket No. A36348 - 071956.0107

### METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

02-4377

Baker Botts LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee required under 37CFR 1.16 and 1.17

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$0

#### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims  - 20 =  X  =   
Independent Claims  - 3 =  X  =   
Multiple Dependent  X  =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1202 18	2202 9	Claims in excess of 20	
1201 86	2201 43	Independent claims in excess of 3	
1203 290	2203 145	Multiple dependent claim, if not paid	
1204 86	2204 43	** Reissue independent claims over original patent	
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)			(\$0

\*or number previously paid, if greater; For Reissues, see above

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	40
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$40

### SUBMITTED BY

Name (Print/Type) Paul D. Ackerman

Signature

Registration No.  
(Attorney/Agent)

39,891

(Complete (if applicable))

Telephone 212 408-2585

Date

Dec. 9, 2004