

## PATENT ASSIGNMENT

Electronic Version v1.1  
 Stylesheet Version v1.1

SUBMISSION TYPE:	NEW ASSIGNMENT												
NATURE OF CONVEYANCE:	ASSIGNMENT												
CONVEYING PARTY DATA													
<table border="1"> <thead> <tr> <th>Name</th> <th>Execution Date</th> </tr> </thead> <tbody> <tr> <td>Jeffrey N. Miller</td> <td>07/26/1999</td> </tr> <tr> <td>Ronald L. Moon</td> <td>07/26/1999</td> </tr> </tbody> </table>		Name	Execution Date	Jeffrey N. Miller	07/26/1999	Ronald L. Moon	07/26/1999						
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Ronald L. Moon	07/26/1999												
RECEIVING PARTY DATA													
<table border="1"> <tr> <td>Name:</td> <td>Philips Lumileds Lighting Company LLC</td> </tr> <tr> <td>Street Address:</td> <td>370 West Trimble Road</td> </tr> <tr> <td>City:</td> <td>San Jose</td> </tr> <tr> <td>State/Country:</td> <td>CALIFORNIA</td> </tr> <tr> <td>Postal Code:</td> <td>95131</td> </tr> </table>		Name:	Philips Lumileds Lighting Company LLC	Street Address:	370 West Trimble Road	City:	San Jose	State/Country:	CALIFORNIA	Postal Code:	95131		
Name:	Philips Lumileds Lighting Company LLC												
Street Address:	370 West Trimble Road												
City:	San Jose												
State/Country:	CALIFORNIA												
Postal Code:	95131												
PROPERTY NUMBERS Total: 5													
<table border="1"> <thead> <tr> <th>Property Type</th> <th>Number</th> </tr> </thead> <tbody> <tr> <td>Application Number:</td> <td>11787152</td> </tr> <tr> <td>Application Number:</td> <td>12700709</td> </tr> <tr> <td>Application Number:</td> <td>12700711</td> </tr> <tr> <td>Application Number:</td> <td>12700713</td> </tr> <tr> <td>Application Number:</td> <td>13208169</td> </tr> </tbody> </table>		Property Type	Number	Application Number:	11787152	Application Number:	12700709	Application Number:	12700711	Application Number:	12700713	Application Number:	13208169
Property Type	Number												
Application Number:	11787152												
Application Number:	12700709												
Application Number:	12700711												
Application Number:	12700713												
Application Number:	13208169												
CORRESPONDENCE DATA													
Fax Number:	(202)429-3902												
Phone:	202-429-3000												
Email:	kwilliams@stepoe.com												
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent via US Mail.</i>													
Correspondent Name:	Harold H. Fox												
Address Line 1:	1330 Connecticut Avenue, NW												
Address Line 4:	Washington, DISTRICT OF COLUMBIA 20036												
ATTORNEY DOCKET NUMBER:	14952.0387												

CH \$200.00 11787152

NAME OF SUBMITTER:

Kristen M. Williams

**Total Attachments: 18**

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When recorded please return to:  
HEWLETT-PACKARD COMPANY  
Legal Department, 208N  
P. O. Box 10301  
Palo Alto, California 94303-0890

PATENT APPLICATION  
ATTORNEY DOCKET NO. 0492611-0286

### ASSIGNMENT OF PATENT APPLICATION

I/We, the undersigned (each) have agreed and hereby agree to assign to HEWLETT-PACKARD COMPANY, a Delaware corporation having its principal place of business in Palo Alto, California, (hereinafter HP), in furtherance of my/our obligations to HP, and do hereby assign and transfer to HP, its successors and assigns, the entire right, title and interest, including the right of priority, in, to and under an application for Letters Patent of the United States entitled:

QUANTUM DOT WHITE AND COLORED LIGHT-EMITTING DEVICES

Filing date: \_\_\_\_\_ Serial No.: \_\_\_\_\_

and the invention(s) and improvement(s) set forth therein, and any and all continuations, continuations-in-part (C-I-P's), divisionals, and renewals of and substitutes for said application for said Letters Patent, and any and all Letters Patent of the United States and of countries foreign thereto which may be granted thereon or therefor; and any reissues, or reexaminations, or extensions of said Letters Patent.

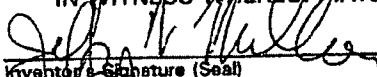
I/we additionally authorize HP to file applications in my/our name for Letters Patent in any country, to be held and enjoyed by HP, its successors, assigns, nominees or legal representatives, to the full end of the term or terms for which said Letters Patent respectively may be granted, reissued or extended, as fully and entirely as the same would have been held and enjoyed by me/us had this assignment, and transfer not been made;

AND I/we hereby covenant that I/we have full right to convey the entire interest herein assigned, and that I/we have not executed and will not execute any agreement in conflict herewith, and I/we further covenant and agree that I/we will, each time a request is made, and without undue delay, execute and deliver all such papers as may be necessary or desirable to perfect the title to said invention(s) or improvement(s), said application and said Letters Patent, to HP, its successors, assigns, nominees or legal representatives, and I/we agree to communicate to HP, or to its nominee, all known facts respecting said invention(s) or improvement(s), said application and said Letters Patent, to testify in any legal proceedings, to sign all lawful papers, to execute all disclaimers and divisionals, continuations, C-I-P's, reissue and foreign applications, to make all rightful oaths and declarations, and generally to do everything possible to aid HP, its successors, assigns, nominees and legal representatives to obtain and enforce, for its or their own benefit, proper patent protection for said invention(s) or improvement(s) in any and all countries provided the expenses which may be incurred by me/us in lending such cooperation and assistance are paid by HP;

AND I/we hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any country or countries foreign to the United States whose duty it is to issue patents on applications as aforesaid, to issue to HP, as assignee of the entire right, title and interest, any and all Letters Patent for said invention(s) or improvement(s), including any and all Letters Patent of the United States which may be issued and granted on or as a result of the application aforesaid, in accordance with the terms of this assignment.

I/we further authorize and direct HP attorneys to insert the serial number and filing date of said application now identified by the attorney docket number and title set forth above as soon as the same shall have been made known to them by the United States Patent and Trademark Office.

IN WITNESS WHEREOF, I/we hereunto set my/our hand(s) and seal(s):

  
Inventor's Signature (Seal)

Date Assignment Signed: 7-26-1999

Inventor's Typed Name: Jeffrey N. Miller

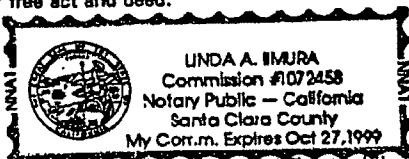
Date Application Signed: 7-26-1999


State of California

) ss.:

County of Santa Clara

Before me this 26th day of July 1999, personally appeared Jeffrey N. Miller who is personally known or proved to me on the basis of satisfactory evidence to be the person who acknowledged the foregoing instrument of assignment to be his/her free act and deed.



  
Notary Public  
My commission expires: 10/27/99

When recorded please return to:  
HEWLETT-PACKARD COMPANY  
Legal Department, 20BN  
P. O. Box 10301  
Palo Alto, California 94303-0890

PATENT APPLICATION  
ATTORNEY DOCKET NO. 0492811-0286

ASSIGNMENT OF PATENT APPLICATION (cont.)

IN WITNESS WHEREOF, I we hereunto set my/our hand(s) and seal(s):

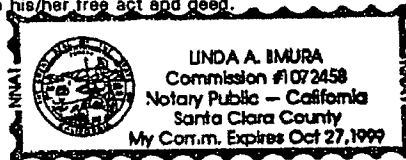
Ronald L. Moon  
Inventor's Signature (Seal)

Date Assignment Signed: 7-26-99

Inventor's Typed Name: Ronald L. Moon Date Application Signed: 7-26-99

State of California )  
County of Santa Clara ) ss.:

Before me this 26th day of July 1999, personally appeared Ronald L. Moon who is personally known or proved to me on the basis of satisfactory evidence to be the person who acknowledged the foregoing instrument of assignment to be his/her free act and deed.



Linda A. Imura  
Notary Public  
My commission expires: 10/27/99

\_\_\_\_\_  
Inventor's Signature (Seal) Date Assignment Signed: \_\_\_\_\_

Inventor's Typed Name: \_\_\_\_\_ Date Application Signed: \_\_\_\_\_

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ ) ss.:

Before me this \_\_\_\_\_ day of \_\_\_\_\_, personally appeared \_\_\_\_\_ who is personally known or proved to me on the basis of satisfactory evidence to be the person who acknowledged the foregoing instrument of assignment to be his/her free act and deed.

\_\_\_\_\_  
Notary Public  
My commission expires: \_\_\_\_\_

\_\_\_\_\_  
Inventor's Signature (Seal) Date Assignment Signed: \_\_\_\_\_

Inventor's Typed Name: \_\_\_\_\_ Date Application Signed: \_\_\_\_\_

State of \_\_\_\_\_ )  
County of \_\_\_\_\_ ) ss.:

Before me this \_\_\_\_\_ day of \_\_\_\_\_, personally appeared \_\_\_\_\_ who is personally known or proved to me on the basis of satisfactory evidence to be the person who acknowledged the foregoing instrument of assignment to be his/her free act and deed.

\_\_\_\_\_  
Notary Public  
My commission expires: \_\_\_\_\_

### ASSIGNMENT

WHEREAS, Hewlett Packard Company, a Delaware corporation having its principal place of business at 3000 Hanover Street, Palo Alto, CA 94304-1185 USA (hereinafter "Hewlett Packard"), is the owner, by assignment, of the following United States Patents and Patent Applications (hereinafter "the Applications"):

Application Nos.
09/167,795, now U.S. Patent 6,501,091
09/350,956
10/329,909
10/329,596
PCT US99/07219
EPO 99915206.9
JP 2000-541740

AND WHEREAS, LUMILEDS LIGHTING U.S., LLC a Delaware Limited Liability Company having its principal place of business at 370 W. Trimble Road, San Jose, CA 95131, (hereinafter "Lumileds Lighting"), desires to acquire the entire right, title and interest, including the right of priority, in, to and under the Applications.

NOW, THEREFOR, Hewlett Packard does hereby assign and transfer to Lumileds Lighting the entire right, title, and interest, including the right of priority, in, to and under the Applications and the inventions and improvements set forth therein, and any and all continuations, continuations-in-part (C-I-P's) divisionals, and renewals of and substitutes for the Applications, and any and all patents of the United States and of countries foreign thereto that may be granted thereon or therefore; and any reissues, or reexaminations, or extensions thereof.

IN WITNESS WHEREOF, Hewlett Packard and Lumileds Lighting have caused this Assignment to be executed by their authorized representatives. Each such authorized representative hereby declares that all statements made herein of their own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of any patents related thereto.

HEWLETT PACKARD COMPANY

LUMILEDS LIGHTING U.S., LLC

By: Charles N. Charnas

By: Lon D. Adels

Printed Name: Charles N. Charnas

Printed Name: Lon D. Adels

Title: Vice President, Deputy General Counsel  
And Assistant Secretary

Title: Intellectual Property Mgr.

Date: Aug. 20, 2004

Date: August 26th, 2004

Form PTO-1595 (Rev. 07/05)  
OMB No. 0651-0027 (exp. 6/30/2008)

U.S. DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office

## RECORDATION FORM COVER SHEET PATENTS ONLY

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

**1. Name of conveying party(ies)**

LUMILEDS LIGHTING U.S., LLC  
LUMILEDS LIGHTING, U.S., LLC  
LUMILEDS LIGHTING, U.S. LLC  
LUMILEDS LIGHTING U.S. LLC

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

**2. Name and address of receiving party(ies)**

Name: PHILIPS LUMILEDS LIGHTING COMPANY LLC

Internal Address: \_\_\_\_\_

Street Address: 370 WEST TRIMBLE ROAD

City: SAN JOSE

State: CA

Country: USA Zip: 95131

Additional name(s) & address(es) attached? ☐ Yes ☒ No

**3. Nature of conveyance/Execution Date(s):**

Execution Date(s) FEBRUARY 11, 2011

- ☐ Assignment ☐ Merger  
☐ Security Agreement ☒ Change of Name  
☐ Joint Research Agreement  
☐ Government Interest Assignment  
☐ Executive Order 9424, Confirmatory License  
☐ Other \_\_\_\_\_

**4. Application or patent number(s):**

☐ This document is being filed together with a new application.

A. Patent Application No.(s)

SEE ATTACHED ANNEX 1

B. Patent No.(s)

SEE ATTACHED ANNEX 1

Additional numbers attached? ☒ Yes ☐ No

**5. Name and address to whom correspondence concerning document should be mailed:**

Name: PHILIPS ELECTRONICS NORTH AMERICA CORP.

Internal Address: P.O. BOX 3001

Street Address: 345 SCARBOROUGH ROAD

City: BRIARCLIFF MANOR

State: NY Zip: 10510-8001

Phone Number: (914) 945-6000

Fax Number: (914) 332-0615

Email Address: MARIANNE.FOX@PHILIPS.COM

**6. Total number of applications and patents involved: 230****7. Total fee (37 CFR 1.21(h) & 3.41) \$ 9200**

- ☐ Authorized to be charged by credit card  
☒ Authorized to be charged to deposit account  
☐ Enclosed  
☐ None required (government interest not affecting title)

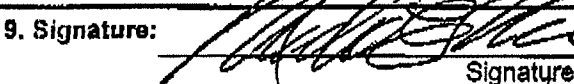
**8. Payment Information**

a. Credit Card Last 4 Numbers \_\_\_\_\_  
Expiration Date \_\_\_\_\_

b. Deposit Account Number 14-1270

Authorized User Name MICHAEL E. MARION

**9. Signature:**

  
Signature

Date

MICHAEL E. MARION  
Name of Person Signing

Total number of pages including cover sheet, attachments, and documents: 15

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:  
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O. Box 1450, Alexandria, V.A. 22313-1450

CH \$8560.00 141270 10278390

700456755

PATENT  
PATENT  
REEL: 025850 FRAME: 0770  
REEL: 027868 FRAME: 0516

AAPL#	Patent	Publication number	Current recorded Assignee
10278390	NONE	<u>US20030095417</u>	<u>LUMILEDS LIGHTING U.S. LLC</u>
9879627	<u>6576488</u>	<u>US20020187571</u>	<u>LUMILEDS LIGHTING U.S. LLC</u>
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11008863	<u>7671529</u>	<u>US20060124947</u>	<u>LUMILEDS LIGHTING U.S. LLC</u>
7646835	<u>5113685</u>		<u>LUMILEDS LIGHTING, U.S. LLC</u>
8678276	<u>5777433</u>		<u>LUMILEDS LIGHTING, U.S. LLC</u>
8684608	<u>5814239</u>		<u>LUMILEDS LIGHTING, U.S. LLC</u>
8892049	<u>5847507</u>		<u>LUMILEDS LIGHTING, U.S. LLC</u>
9018776	<u>5919715</u>		<u>LUMILEDS LIGHTING, U.S. LLC</u>
8833813	<u>5927995</u>		<u>LUMILEDS LIGHTING, U.S. LLC</u>
9052368	<u>6046465</u>		<u>LUMILEDS LIGHTING, U.S. LLC</u>
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9162708	<u>6229151</u>		<u>LUMILEDS LIGHTING, U.S. LLC</u>
8979895	<u>6258614</u>		<u>LUMILEDS LIGHTING, U.S. LLC</u>
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9231411	<u>6201264</u>		<u>LUMILEDS LIGHTING, U.S., LLC</u>
9187357	<u>6204523</u>		<u>LUMILEDS LIGHTING, U.S., LLC</u>
	<u>6590235</u> (continuation of <u>6204523</u> )		<u>LUMILEDS LIGHTING, U.S., LLC</u>
9317647	<u>6222207</u>		<u>LUMILEDS LIGHTING, U.S., LLC</u>
9162708	<u>6229151</u>		<u>LUMILEDS LIGHTING, U.S., LLC</u>
8868009	<u>6229160</u>		<u>LUMILEDS LIGHTING, U.S., LLC</u>
8979895	<u>6258614</u>		<u>LUMILEDS LIGHTING, U.S., LLC</u>
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9327948	<u>6287947</u>		<u>LUMILEDS LIGHTING, U.S., LLC</u>
9151554	<u>6291839</u>		<u>LUMILEDS LIGHTING, U.S., LLC</u>
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## NAME CHANGE RECORDATION

**PHILIPS LUMILEDS LIGHTING COMPANY LLC**, a limited liability corporation, having its office at 370 West Trimble Road, San Jose, CA 95131, USA hereby requests that a name change be recorded in all United States Patents and United States Patent Applications including all divisions, continuations, reissues and extensions listed in Annex 1

from **LUMILEDS LIGHTING U.S., LLC**, also referred to as **LUMILEDS LIGHTING, U.S., LLC**, **LUMILEDS LIGHTING, U.S. LLC** and **LUMILEDS LIGHTING U.S. LLC**

to **PHILIPS LUMILEDS LIGHTING COMPANY LLC**, a limited liability corporation, having its office at 370 West Trimble Road, San Jose, CA 95131, USA, as recorded in the State of Delaware on December 27, 2005, and a copy of the certificate of amendment is attached in Annex 2.

EXECUTED for and on behalf of:

Philips Lumileds Lighting Company LLC

Date: 11-Feb-2011

  
Name: Jan Bouten

Title: CFO, Philips Lumileds Lighting Company LLC

# Annex 1

PATENT

REEL: 025850 FRAME: 0778

REEL: 027868 FRAME: 0524

# Annex 2

# Delaware

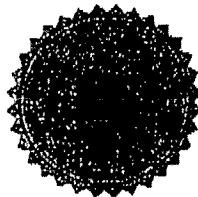
PAGE 1

*The First State*

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT COPY OF THE CERTIFICATE OF AMENDMENT OF "LUMILEDS LIGHTING U.S., LLC", CHANGING ITS NAME FROM "LUMILEDS LIGHTING U.S., LLC" TO "PHILIPS LUMILEDS LIGHTING COMPANY LLC", FILED IN THIS OFFICE ON THE TWENTY-SEVENTH DAY OF DECEMBER, A.D. 2005, AT 3 O'CLOCK P.M.

3109881 8100

060346404



*Harriet Smith Windsor*  
Harriet Smith Windsor, Secretary of State  
AUTHENTICATION: 4665543

DATE: 04-13-06

PATENT  
REEL: 025856 FRAME: 0780  
REEL: 027868 FRAME: 0526



State of Delaware  
Secretary of State  
Division of Corporations  
Delivered 03:00 PM 12/27/2005  
FILED 03:00 PM 12/27/2005  
SRV 051064324 - 3109881 FILE

**STATE OF DELAWARE  
CERTIFICATE OF AMENDMENT**

1. Name of Limited Liability Company: LUMILEDS LIGHTING U.S., LLC
2. The Certificate of Formation of the limited liability company is hereby amended as follows:  
FIRST: THE NAME OF THE LIMITED LIABILITY  
COMPANY IS PHILIPS LUMILEDS LIGHTING  
COMPANY LLC

IN WITNESS WHEREOF, the undersigned have executed this Certificate on  
the 13 day of DECEMBER, A.D. 2005.

By: W. C. Sauer  
Authorized Officer

Name: N. T. BOSTOCK  
Print or Type

Apr 13 08 01:37p

Lumileds Finance Dept

(408)435-5889

P.18

*State of Delaware*  
**Office of the Secretary of State**

PAGE 1

I, EDWARD J. FREEL, SECRETARY OF STATE OF THE STATE OF  
DELAWARE, DO HEREBY CERTIFY THE ATTACHED IS A TRUE AND CORRECT  
COPY OF THE CERTIFICATE OF FORMATION OF "LUMILEDS LIGHTING U.S.,  
LLC", FILED IN THIS OFFICE ON THE TWELFTH DAY OF OCTOBER, A.D.  
1999, AT 1 O'CLOCK P.M.



*Edward J. Freel*

Edward J. Freel, Secretary of State

3109881 8100

991430234

OCT-13-1999 11:07

6504283901

AUTHENTICATION: 0020630

DATE: 10-12-99

94%

04/13/2008 THU 17:34 [TX/RX NO 9597] 018

P.02

PATENT

REEL: 025850 FRAME: 0782

REEL: 027868 FRAME: 0528

Apr 13 08 01:38p

Lumileds Finance Dept

(408)435-5869

p.19

# Delaware

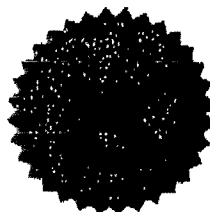
PAGE 1

*The First State*

I, HARRIET SMITH WINDSOR, SECRETARY OF STATE OF THE STATE OF DELAWARE, DO HEREBY CERTIFY "LUMILEDS LIGHTING U.S., LLC" IS DULY FORMED UNDER THE LAWS OF THE STATE OF DELAWARE AND IS IN GOOD STANDING AND HAS A LEGAL EXISTENCE SO FAR AS THE RECORDS OF THIS OFFICE SHOW, AS OF THE FIFTEENTH DAY OF OCTOBER, A.D. 2002.

AND I DO HEREBY FURTHER CERTIFY THAT THE SAID "LUMILEDS LIGHTING U.S., LLC" WAS FORMED ON THE TWELFTH DAY OF OCTOBER, A.D. 1999.

AND I DO HEREBY FURTHER CERTIFY THAT THE ANNUAL TAXES HAVE BEEN PAID TO DATE.



*Harriet Smith Windsor*  
Harriet Smith Windsor, Secretary of State

AUTHENTICATION: 2034470

3109881 8300

020635041

DATE: 10-15-02  
04/13/2008 THU 17:34 [TX/RX NO 9597] 019PATENT  
PATENT  
REEL: 025850 FRAME: 0783  
REEL: 027868 FRAME: 0529

Apr 13 06 01:38p

Lumileds Finance Dept

(408) 435-5869

P.20

**CERTIFICATE OF FORMATION  
OF  
LUMILEDS LIGHTING U.S., LLC**

This Certificate of Formation of Lumileds Lighting U.S., LLC (the "LLC"), dated as of October 12 1999, is being duly executed and filed by the undersigned, as an authorized person, to form a limited liability company under the Delaware Limited Liability Company Act (6 Del. C. § 18-101, *et seq.*).


FIRST. The name of the limited liability company formed hereby is

LumiLeds Lighting U.S., LLC

SECOND. The address of the registered office of the LLC in the State of Delaware is c/o The Corporation Trust Company, 1209 Orange Street, Wilmington, Delaware 19801, County of New Castle.

THIRD. The name and address of the registered agent for service of process on the LLC in the State of Delaware is The Corporation Trust Company, 1209 Orange Street, Wilmington, Delaware 19801, County of New Castle.

IN WITNESS WHEREOF, the undersigned has executed this Certificate of Formation as of the date first above written.

  
Name: NEIL THOMAS BARTOCK  
Authorized Person