503753945 03/25/2016

PATENT ASSIGNMENT COVER SHEET

EPAS ID: PAT3800591

Electronic Version v1.1 Stylesheet Version v1.2

SUBMISSION TYPE:CORRECTIVE ASSIGNMENTNATURE OF CONVEYANCE:Corrective Assignment to correct the DOC DATES FOR THE 2ND AND 3RD ASSIGNORS, I.E., SUZUKA NISHMURA, DOC DATE 12/12/2015, AND MUNEYUKI HIRAI, DOC DATE 12/14/2015, previously recorded on Reel 037635 Frame 0992. Assignor(s) hereby confirms the ASSIGNMENT.RESUBMIT DOCUMENT ID:503685722

CONVEYING PARTY DATA

Name	Execution Date
KAZUTAKA TERASHIMA (DECEASED) YOKO TERASHIMA	12/14/2015
SUZUKA NISHIMURA	12/12/2015
MUNEYUKI HIRAI	12/14/2015

RECEIVING PARTY DATA

Name:	NITTO OPTICAL CO., LTD.
Street Address:	1-14-18 KUDANKITA, CHIYODA-KU
City:	TOKYO
State/Country:	JAPAN
Postal Code:	1020073
Name:	SOLARTES LAB., LTD.
Name: Street Address:	SOLARTES LAB., LTD. ENDO 2009-3 FUJISAWA-SHI
	· ·
Street Address:	ENDO 2009-3 FUJISAWA-SHI

PROPERTY NUMBERS Total: 1

Property Type	Number
Application Number:	14959420

CORRESPONDENCE DATA

Fax Number: (703)991-7071

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.

Phone: 703-740-8322

Email: patent@maierandmaier.com
Correspondent Name: MAIER & MAIER, PLLC

Address Line 1: 345 SOUTH PATRICK STREET Address Line 4: ALEXANDRIA, VIRGINIA 22314

ATTORNEY DOCKET NUMBER:	05200005US
NAME OF SUBMITTER:	TIMOTHY J. MAIER
SIGNATURE:	/Timothy J. Maier/
DATE SIGNED:	03/25/2016
This document serves as an Oath/Declaration (37 CFR 1.63)	

Total Attachments: 13

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source=05200005US-Notice-of-Recordation#page2.tif

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Electronic Patent Assignment System

Confirmation Receipt

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PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1 Stylesheet Version v1.2

 SUBMISSION TYPE:
 NEW ASSIGNMENT

 NATURE OF CONVEYANCE:
 ASSIGNMENT

CONVEYING PARTY DATA

Name	Execution Date
KAZUTAKA TERASHIMA	12/14/2015
SUZUKA NISHIMURA	11/27/2015
MUNEYUKI HIRAI	11/27/2015

RECEIVING PARTY DATA

Name:	NITTO OPTICAL CO., LTD.
Street Address:	1-14-18 KUDANKITA
Internal Address:	CHIYODA-KU
City:	токуо
State/Country:	JAPAN
Postal Code:	1020073

Name:	SOLARTES LAB., LTD.
Street Address:	ENDO 2009-3 FUJISAWA-SHI
City:	KANAGAWA
State/Country:	JAPAN

2520816 Postal Code: PROPERTY NUMBERS Total: 1 Number **Property Type Application Number:** 14959420 **CORRESPONDENCE DATA** Fax Number: (703)991-7071 Phone: 703-740-8322 Email: patent@maierandmaier.com 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. Correspondent Name: MAIER & MAIER, PLLC Address Line 1: 345 SOUTH PATRICK STREET Address Line 4: ALEXANDRIA, VIRGINIA 22314 ATTORNEY DOCKET 05200005US NUMBER: NAME OF SUBMITTER: TIMOTHY J. MAIER Signature: /Timothy J. Maier/ 02/01/2016 Date: This document serves as an Oath/Declaration (37 CFR 1.63). **Total Attachments: 4** source=0520005US-Assign-TERASHIMA#page1.tif source=0520005US-Dec-Assign-NISHIMURA-HIRAI#page1.tif source=0520005US-Dec-Assign-NISHIMURA-HIRAI#page2.tif source=0520005US-Dec-Assign-NISHIMURA-HIRAI#page3.tif RECEIPT INFORMATION EPAS ID: PAT3720958 Receipt Date: 02/01/2016

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UNDER SECRETARY OF COMMERCE FOR INTELLECTUAL PROPERTY AND DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE

FEBRUARY 2, 2016

PTAS

MAIER & MAIER, PLLC 345 SOUTH PATRICK STREET ALEXANDRIA, VA 22314 503674322

UNITED STATES PATENT AND TRADEMARK OFFICE NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT RECORDATION BRANCH OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE ASSIGNMENT RECORDATION BRANCH AT 571-272-3350. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, MAIL STOP: ASSIGNMENT RECORDATION BRANCH, P.O. BOX 1450, ALEXANDRIA, VA 22313.

RECORDATION DATE: 02/01/2016 REEL/FRAME: 037635/0992

NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNORS INTEREST (SEE DOCUMENT FOR DETAILS).

DOCKET NUMBER: 05200005US

ASSIGNOR:

TERASHIMA, KAZUTAKA DOC DATE: 12/14/2015

ASSIGNOR:

NISHIMURA, SUZUKA DOC DATE: 11/27/2015

ASSIGNOR:

HIRAI, MUNEYUKI DOC DATE: 11/27/2015

ASSIGNEE:

NITTO OPTICAL CO., LTD. 1-14-18 KUDANKITA CHIYODA-KU TOKYO, JAPAN 1020073

ASSIGNEE:

SOLARTES LAB., LTD. ENDO 2009-3 FUJISAWA-SHI KANAGAWA, JAPAN 2520816

P.O. Box 1450, Alexandria, Virginia 22313-1450 - WWW.USPTO.GOV PATENT REEL: 038110 FRAME: 0568

APPLICATION NUMBER: 14959420 FILING DATE: 12/04/2015

PATENT NUMBER: ISSUE DATE:

TITLE: ACTIVE REGION CONTAINING NANODOTS (ALSO REFERRED TO AS "QUANTUM DOTS") IN MOTHER CRYSTAL FORMED OF ZINC BLENDE-TYPE (ALSO REFERRED TO AS "CUBIC CRYSTAL-TYPE") ALYINXGAL-Y-XN CRYSTAL(Y. 0, X>0) GROWN ON SI SUBSTRATE, AND LIGHTEMITTING DEVICE USING

THE SAME (LED AND LD)

ASSIGNMENT RECORDATION BRANCH PUBLIC RECORDS DIVISION

Docket No.: 05200005U8 Only After Sept 16, 2812 US Rights Only

Whereas, We, the undersigned inventors hereinafter called

REEL: 038110 FRAME: 0570

ASSIGNMENT WITH DECLARATION FOR PATENT APPLICATION (37 CFR 1.63)

特許出願宣言書付き譲渡書 (37 CFR 1.63)

Japanese Language Assignment with Declaration

下記に署名した発明者であり、以下に譲渡人と称される私

(萩々)は、下記の出願に記載された改良に関する発明を し、	assignors, have invented certain improvements described in the application identified below; and
のの微受人)は、本件出願 および本件発明、ならびに当該出願から得られるいかなる来 服特許に関する金での権利。権原、および利益の取得を要求 します。	Whereas, NITTO OPTICAL CO., LTD. of 1-14-18 Kudankita, Chiyoda-ku, Tokyo 1020073 (IP); and SOLARTES Lab., LTD. of Endo 2009-3 Fujisawa-shi, Kanagawa 2520816 (IP) (assignees), desire to acquire the entire right, title, and interest in the application and invention, and to any United States patents to be obtained therefor;
よって、価値ある対価の受領をここに確認し、	Now therefore, for valuable consideration, receipt whereof is hereby acknowledged,
上で譲渡人として指名された私 (我々) は、米国における本件出額およびその発明開示、全ての分割出額および継続出額、これら出額について許可された米国特許証および全ての再発行特許に関する全ての権利 (35 USC 119に基づく優先権を主張する権利と過去分の損害賠償請求権を含む)、権原、および利益を、上で指定した譲受人、その単継人ないし権利承継者に売却、譲渡、移転するとともに、私 (我々) は米国特許商標庁長宮に対し、本件出額に記載の発明に対する特許証を、譲受人、その承継人ないし権利承継者に発行することを要請し、私 (我々) は、これ以上の対価なしに、譲受人の求めにより、本件米国特許出額に関して譲受人が必要とみなす全ての書類を作成します。	We, the above named assignors, hereby sell, assign and transfer to the above named assignes, its successors and assigns, the entire right, title and interest in the application and the invention disclosed therein for the United States of America, including all divisions, and continuations thereof, and all Letters Patent of the United States that may be granted thereon, and all reissues thereof, including the right to claim priority under 35 USC 119 and the right to sue for past damages, and we request the Director of the U.S. Patent and Trademark Office to issue any Letters Patent granted upon the invention set forth in the application to the assignees, its successors and assigns; and we will execute without further consideration all papers deemed necessary by the assignees in connection with the United States application when called upon to do so by the assignees.
(公証人による認証は不要であるが、これらの審額は、35 USC 261に基づく推定された証拠となる)	(Legalization not required for recording but is prima facie evidence of execution under 35 USC 261)
私は、下記に記載の発明者として、以下の通り宣言します。	As the below named inventors, we hereby declare that:
本宣言付き譲渡書は、以下に関します。	This assignment with declaration is directed to:
添付の出額数、または、	The attached application, or
年_月_日に出願された米国出願あるいはPCT	United States Application or PCT International Application
国際出廠番号(確認番号)	Number 14/959,420 filed on December 4,2015
	(Confirmation No. 7863).
本件出額の名称は、以下の通りです。	The application is entitled:
	ACTIVE REGION CONTAINING NANODOTS (ALSO REFERRED TO AS "QUANTUM DOTS") IN MOTHER CRYSTAL FORMED OF ZINC BLENDE-TYPE (ALSO REFERRED TO AS "CUBIC CRYSTAL-TYPE") ALIR, GBL., N CRYSTAL (Y>0, X>0) GROWN ON SI SUBSTRATE, AND LIGHT-EMITTING DEVICE USING THE SAME (LED AND LD)
	PATENT

Japanese Language Assignment with Declaration

上記に明示された出願は,私が作成した、または作成を許可 したものです。

私は、本件出願において請求項に記載された発明の本来の発 明者、または、本来の共同発明者であると信じています。

私は、本宣言付き譲渡券の提出に関わる本件出願の内容を検 討し、理解しています。

私は、37 CFR 1.56に定義されるように、自身が知る全ての 特許性に関する重要な情報を、米国特許商磋庁に開示する義 務があることを認識しています。

私は、本宣言付き譲渡器において故意に虚偽の供述を行った 場合、18 USC 1001に基づき、罰金あるいは5年以下の懲役、 または両方による処罰の対象となることを認識しています。 The above identified application was made or was authorized to be made by me.

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

I have reviewed and understand the contents of the application for which this assignment with declaration is being submitted.

I am aware of the duty to disclose to the Office all information known to me to be material to patentability as defined in 37 CFR 1.56.

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

STATEMENT OF ACCURATE TRANSLATION IN ACCORDANCE WITH 37 CFR L69(b):

The assignment with declaration is an accurate translation of the corresponding English language assignment with declaration.

Signature

Date

March 11, 2014

NAME OF SECOND INVENTOR: 唯一あるいは第一の発明者名	
Given Name (first and middle [if any]) 名(名およびミドルネーム[該当する場合]) Suzuka	Family Name or Surname 姓 NISHIMURA
Inventor's signature 発明者の署名 Suzuko Wishin	nura Date HH 2015 / Dec/12
Residence: 住所: c/o SOLARTES Lab., LTD., Endo 2009-3 Fu	ijísawa-shi, Kanagawa 2520816 (JP)
Mailing Address:	09-3 Fujisawa-shi, Kanagawa 2520816 (JP)
NAME OF THIRD INVENTOR: 唯一あるいは第一の発明者名	
Given Name (first and middle [if any]) 名(名およびミドルネーム[該当する場合]) Muncyuki	Family Name or Surname 姓 HIRAI
hventor's signature 発明者の署名 Muneya ki Hirai	Date 1347 307/3 Dec 14
Residence: 注所: c/o SOLARTES Lab., LTD., Endo 2009-3 Fu	ijisawa-shi, Kanagawa 2520816 (JP)
Mailing Address: 影送先:	19-3 Fujisawa-shi Kanasawa 2520816 (IP)

PATENT

REEL: 038110 FRAME: 0572

ASSIGNMENT
Whereas, I, Kazutaka Terashima, whose post office address is c/o SOLARTES Lab., LTD., Endo 2009-3 Pujisawa-shi, Kanagawa 2520816, JP, hereinafter referred to as ASSIGNOR, is the owner of certain new and useful improvements in ACTIVE REGION CONTAINING NANODOTS (ALSO REFERRED TO AS "QUANTUM DOTS") IN MOTHER CRYSTAL. FORMED OF ZINC BLENDE-TYPE (ALSO REFERRED TO AS "CUBIC CRYSTAL-TYPE") ALIB., Gabya N CRYSTAL (Y≥0, X>0) GROWN ON SI SUBSTRATE, AND LIGHT-EMITTING DEVICE USING THE SAME (LED AND LD) (hereinafter referred to as the INVENTION) for which an application for United States Letters Patent was executed on even date herewith executed on: X filed on: December 4,2015 Serial No.: 14/959,420 filed: designating the United States of America
WHEREAS, NITTO OPTICAL CO., LTD., whose post office address is 1-14-18 Kudankita, Chiyoda-ku, Tokyo 1020073, IP; and SOLARTES Lab., LTD., whose post office address is Endo 2009-3 Fujisawa-shi, Kanagawa 2520816, JP, hereinafter referred to as ASSIGNEES, are desirous of acquiring the entire right, title and interest in and to the same in the United States;
NOW, THEREFORE, for good and valuable consideration, receipt of which is hereby acknowledged, I, ASSIGNOR, by these presents do sell, assign and transfer unto said ASSIGNEES, the entire right, title, and interest in and to said INVENTION and application throughout the United States of America, including any and all Letters Patent granted on any division, continuation, continuation-in-part and reissue of said application.
ALSO, ASSIGNOR hereby agrees to execute any documents that legally may be required in connection with the filing, prosecution and maintenance of said application or any other patent application(s) in the United States for said INVENTION, including additional documents that may be required to affirm the rights of ASSIGNEES in and to said INVENTION, all without further consideration. ASSIGNOR also agrees, without further consideration and at ASSIGNEES' expense, to identify and communicate to ASSIGNEES at ASSIGNEES' request documents and information concerning the INVENTION that are within ASSIGNOR'S possession or control, and to provide further assurances and testimony on behalf of ASSIGNEES that lawfully may be required of ASSIGNOR in respect of the prosecution, maintenance and defense of any patent application or patent encompassed within the terms of this instrument. ASSIGNOR'S obligations under this instrument shall extend to ASSIGNOR'S heirs, executors, administrators and other legal representatives.
ALSO, ASSIGNOR hereby authorizes and requests the Commissioner of Patents and Trademarks to issue any and all Letters Patent referred to above to ASSIGNEES, as the ASSIGNEES of the entire right, title and interest in and to the same, for ASSIGNEES sole use and behoof; and for the use and behoof of ASSIGNEES' legal representatives and successors, to the full end of the term for which such Letters Patent may be granted, as fully and entirely as the same would have been held by ASSIGNOR had this assignment and sale not been made.
A SSIGNOR authorizes my member of the firm of Major & Major DILC to insert or complete any information in this

ASSIGNOR authorizes any member of the firm of Maier & Maier, PLLC to insert or complete any information in this document needed to effect its recordal in the U.S. Patent and Trademark Office.

Yoko Verashima	For The Deceased
Signature on behalf of the Deceased	1 of the Deceases
Yoko TERASHIMA	
Name of Signor	
Wife	
Title of Signor 2015 / 12 / 14	
Date	

X)	
Ç ()	7.))		(2の1) 全部事項証明
·····	3. 本 籍	神奈川県海老名市中野二丁目	1206番地3
	氏 名	寺嶋 一高	7.1
	白額車項 15 紹	【版籍日】平成20年4月2日	
	更 E	【從前本籍】神奈川県横須賀市小矢部 【更正日】平成23年8月15日	一丁目1426番地
		【更连事項】本籍 【更正事由】平成 2 3 年 8 月 1 5 日土	1817D & 1878BB
		【従前の記録】 【従前の記録】 【本籍】神奈川県海老名市中野 2	
	戸籍に記録されている者	(名) 一高	
		【生年月日】昭和26年3月10日	
	除額	【文】寺嶋武夫 【母】寺嶋元子	**
	PT #3	【統柄】長男	
	身分事項 出 生	F ili#-13¶ 973m30 AAT 9 MG AAPS	
	H T	【出生日】昭和26年3月10日 (1) 【出生地】神奈川県横須賀市 【記出日】昭初38年3月11日	
		【届出日】昭和2.6年3月13日 【届出人】文	
	· 婚 姻	【婚姻日】昭和5 0 年 9 月 2 7 日 【配偶者氏名】日野洋子	
		【從前戸籍】神奈川県横須賀市小矢部	一丁目1426番地、寺嶋武夫
	死亡。	【死亡日】平成26年4月19日 【死亡時公】左後を味500	
		【死亡時分】午後5時58分 【死亡地】神奈川県伊勢原市	
		【届出日】平成26年4月21日 【届出人】親族 寺嶋洋子	**
	戸籍に記録されている者	[8] 洋子 [8]	
		【生年月日】昭和26年12月20日 【文】日野功 【母】日野乃至	
		【结】 1 3 7 7 3 3 5 [統例】 長女	
	身分事項 u 4-	* W. S. C. S. B. M. M. C. A. A. C. A. A. C.	
-	出生	【出生日】昭和26年12月20日 【出生地】 新葉県市原郡五井町 【届出日】昭和27年1月6日	
		【届出日】昭和27年1月6日 【届出人】交	



	(20	92) 全部事項証明	
	【送付を受けた日】昭和27年1月14日 【受理者】千葉県市原郡五井町長		
AS 40	【婚姻日】昭和50年9月2万日 【配偶者氏名】寺嶋一湖 【従前戸籍】于葉県海原市高龍485番地	1. 日野功	
- 電偶者の死亡	【配偶者の先前日】平成2.6年4月19日	· · · · · · · · · · · · · · · · · · ·	
声籍に記録されている者	(名) 惠子		
	【生年月日】昭和55年2月24日 【父】寺嶋一高 【母】寺嶋洋子 【続柄】二女		
身分奪頭 出、生	【出生日】昭和55年2月24日 【出生地】神奈川県横須賀市 【届出日】昭和55年8月8日 【届出人】文		
		以节余白	2000 May 100 M

発行器是14~45061

これは、戸籍に記録されている事項の金部を証明した書面である。

平成26年8月26日

神奈川県海老名市長

内野 優 海走名 市長的 窓口事用

PATENT PA

Certificate of All Records (2-1)		
	206-3, Nakano 2-chome, Ebina-sh	Ebina-shi, Kanagawa-ken
Name	TERASHIMA KAZUTAKA	
Matters of the Family Register		
	Date of Transfer	April 2, 2008
Iranster of the Registered Domicile	Previous Permanent Domicile	1426, Koyabe 1-chome, Yokosuka-shi, Kanagawa-ken
	Date of Correction	August 15, 2011
	Item of Correction	Permanent Domicile
Date of Correction	Reason of Correction	Change of Land Name dated August 15, 2011
	Previous Record	
	Permanent Domicile	206-3, Nakano 2-chome, Ebina-shi, Kanagawa-ken
	Name	
Person Recorded in the Family Register	Date of Birth	March 10, 1951
REMOVED	Father	TERASHIMA TAKEO
	Mother	TERASHIMA MOTOKO
	Relationship	First Son
M	Date of Birth	March 10, 1951
Matters of the Personal Status	Place of Birth	Yokosuka-shi, Kanagawa-ken
	Date of Notification	March 13, 1951
	Notified by	Father
	Date of Marriage	September 27, 1975
Marriage	Name of the Spouse	HINO YOKO
	Previous Family Register	1426, Koyabe 1-chome, Yokosuka-shi, Kanagawa-ken TERASHIMA TAKEO
	Date of Death	
	Time of Death	5:58pm
Death	Place of Death	Isehara-shi, Kanagawa-ken
	Date of Notification	April 21, 2016
	Notified by	Familiy, TERASHIMA YOKO
	Name	УОКО
	Date of Birth	December 20, 1951
Person Recorded in the Family Register	Father	HINO ISAO
	Mother	HINO NOBU
	Relationship	First Daughter
Mattaca of the December Status	Date of Birth	December 20, 1951
Matters of the Fersolal Status	Place of Birth	Goi-cho, Ichihara-gun, Chiba-ken
D:+b	Date of Notification	January 6, 1952
	Notified by	Father
Issue No. 14-05060		(Following next page)

This is a document certifying all matters recorded in the Family Register.

Issue No. 14-05060

Birth

Matters of the Personal Status

Relationship Date of Birth

Place of Birth

Second Daughter
February 24, 1980
Yokosuka-shi, Kanagawa-ken
March 8, 1980

(Blank below

TERASHIMA KAZUTAKA TERASHIMA YOKO February 24, 1980

Date of Notification

Notified by

Person Recorded in the Family Register

Father

Date of Birth

Date of Death of the Spouse

April 19, 2014

Date of Marriage

September 27, 1975

TERASHIMA KAZUTAKA

Mayor of Goi-cho, Ichihara-gun, Chiba-ken

January 14, 1952

Nama of the Spouse

Previous Family Register

Date of Receipt

Received by

Mother

Marriage

Death of the Spouse

Certificate of All Records (2-1)

August 26, 2014

Mayor of Ebina-shi, Kanagawa-ken

UCHINO MASARU

RECORDED: 02/10/2016

485, Takataki, Ichihara-shi, Chiba-ken HINO ISAO **PATENT**

REEL: 038110 FRAME: 0577