

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT3855839

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
HUAYONG HU	04/28/2016
LEI YE	04/28/2016
RECEIVING PARTY DATA	
Name:	SEMICONDUCTOR MANUFACTURING INTERNATIONAL (SHANGHAI) CORPORATION
Street Address:	18 ZHANGJIANG ROAD, PUDONG NEW AREA
City:	SHANGHAI
State/Country:	CHINA
Postal Code:	201203
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	15144901
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:	571-379-9468
Email:	docketing@anovalaw.com
Correspondent Name:	ANOVA LAW GROUP C/O SMIC
Address Line 1:	21351 GENTRY DRIVE
Address Line 2:	SUITE 150
Address Line 4:	STERLING, VIRGINIA 20166
ATTORNEY DOCKET NUMBER:	00158.0312.00US
NAME OF SUBMITTER:	AKIKO YOSHIDA
SIGNATURE:	/Akiko Yoshida/
DATE SIGNED:	05/03/2016
Total Attachments: 2	
source=AssignandDec001580312#page1.tif	
source=AssignandDec001580312#page2.tif	

SMIC 2014-02786-SH-US
Anova Law Group, PLLC 00158.0312.00US

US Rights
Page 1

ASSIGNMENT AND DECLARATION

WHEREAS I/We, the below named inventor(s) (hereinafter referred to as Assignor(s)) have made an invention entitled:

3D NAND DEVICE AND FABRICATION METHOD THEREOF

for which I/We executed an application for United States Letters Patent concurrently herewith or filed an application for United States Letters Patent on _____ (Application No. _____); and

WHEREAS, Semiconductor Manufacturing International (Shanghai) Corporation, a corporation of P. R. China whose post office address is 18 Zhangjiang Road, Pudong New Area, Shanghai, China 201203 (hereinafter referred to as Assignee), is desirous of securing the entire right, title, and interest in and to this invention in all countries throughout the world, and in and to the application for United States Letters Patent on this invention and the Letters Patent to be issued upon this application;

NOW THEREFORE, be it known that, for good and valuable consideration the receipt of which from Assignee is hereby acknowledged, I/We, as Assignor(s), have sold, assigned, transferred, and set over, and do hereby sell, assign, transfer, and set over unto the Assignee, its lawful successors and assigns, my/our entire right, title, and interest in and to this invention, provisional Application No. _____, filed _____ (if any), and this application, and all divisions, and continuations thereof, and all Letters Patent of the United States which may be granted thereon, and all reissues thereof, and all rights to claim priority on the basis of the above provisional application (if any), as well as all rights to claim priority on the basis of this application, and all applications for Letters Patent which may hereafter be filed for this invention in any foreign country and all Letters Patent which may be granted on this invention in any foreign country, and all extensions, renewals, and reissues thereof; and I/We hereby authorize and request the Commissioner of Patents and Trademarks of the United States and any official of any foreign country whose duty it is to issue patents on applications as described above, to issue all Letters Patent for this invention to Assignee, its successors and assigns, in accordance with the terms of this Assignment;

AND, I/WE HEREBY covenant that I/We have the full right to convey the interest assigned by this Assignment, and I/We have not executed and will not execute any agreement in conflict with this Assignment;

AND, I/WE HEREBY further covenant and agree that I/We will, without further consideration, communicate with Assignee, its successors and assigns, any facts known to me/us respecting this invention, and testify in any legal proceeding, sign all lawful papers when called upon to do so, execute and deliver any and all papers that may be necessary or desirable to perfect the title to this invention in said Assignee, its successors or assigns, execute all divisional, continuation, and reissue applications, make all rightful oaths and generally do everything possible to aid Assignee, its successors and assigns, to obtain and enforce proper patent protection for this invention in the United States and any foreign country, it being understood that any expense incident to the execution of such papers shall be borne by the Assignee, its successors and assigns.

AND, I/WE HEREBY authorize and request the attorneys I/we have empowered in the Declaration and Power of Attorney in this application, to insert here in parentheses (Application No. _____, filed _____) the filing date and application number of said application when known.

SMIC 2014-02786-SH-US
Anova Law Group, PLLC 00158.0312.00US

US Rights
Page 2

Further, as a below named inventor, I hereby declare that:

This declaration is directed to the application attached hereto or United States application or PCT international application number _____ filed on _____.
If the application is not attached hereto, the application is as identified above or by the attorney docket number as set forth above and/or the following.

The above-identified application was made or 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 above-identified application, including the claims.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 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.

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.

IN TESTIMONY WHEREOF, I/We have hereunto set our hands.

Inventor 1
Legal Name: HUAYONG HU

Signature:

Huayong Hu

Date:

2016-4-28

Inventor 2
Legal Name: LEI YE

Signature:

Lei Ye

Date:

2016-4-28

Note: An application data sheet (PTO/SB/14 or equivalent), including naming the entire inventive entity, must accompany this form or must have been previously filed. Check the box below and complete the attached page(s) to list additional inventors.

☐ Additional inventors are being named on the ___ supplemental sheet(s) attached hereto.