

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

EPAS ID: PAT4057275

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
RUILONG XIE	09/12/2016
STEVEN J. BENTLEY	09/12/2016
JODY A. FRONHEISER	09/14/2016
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	GLOBALFOUNDRIES INC.
<b>Street Address:</b>	PO BOX 309
<b>Internal Address:</b>	UGLAND HOUSE
<b>City:</b>	GRAND CAYMAN
<b>State/Country:</b>	CAYMAN ISLANDS
<b>Postal Code:</b>	KY1-1104
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	15268796
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(713)434-6671
<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>	
<b>Phone:</b>	7134346677
<b>Email:</b>	mpaul@amersoniplaw.com
<b>Correspondent Name:</b>	J. MIKE AMERSON
<b>Address Line 1:</b>	2500 FONDREN ROAD, SUITE 220
<b>Address Line 4:</b>	HOUSTON, TEXAS 77063
<b>ATTORNEY DOCKET NUMBER:</b>	2162.273700/IALB084
<b>NAME OF SUBMITTER:</b>	J. MIKE AMERSON
<b>SIGNATURE:</b>	/J. Mike Amerson/
<b>DATE SIGNED:</b>	09/19/2016
	This document serves as an Oath/Declaration (37 CFR 1.63).
<b>Total Attachments: 3</b>	
source=Declaration_and_Assignment#page1.tif	

source=Declaration\_and\_Assignment#page2.tif

source=Declaration\_and\_Assignment#page3.tif

**COMBINED DECLARATION and ASSIGNMENT (37 CFR 1.63) FOR UTILITY OR DESIGN  
APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of  
Invention**

METHODS OF FORMING A VERTICAL TRANSISTOR DEVICE

**DECLARATION**

As the below named inventor, I hereby declare that:

This declaration is directed to:  The attached application, or  
 United States application or PCT international application number \_\_\_\_\_ filed on \_\_\_\_\_

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 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.

I have reviewed and understand the contents of the application and am aware of the duty to disclose to the US Patent and Trademark Office all information known to me to be material to patentability as defined in 37 CFR § 1.56.

**ASSIGNMENT**


For good and valuable consideration, the receipt, sufficiency and adequacy of which are hereby acknowledged, I hereby sell, assign, transfer, to GLOBALFOUNDRIES Inc. having a business address of PO Box 309, Uglund House, Grand Cayman KY1-1104 its successors and assigns, absolutely and forever, my entire right, title and interest in and to the invention listed above, together with the Application, any and all Patents that may issue in the United States and/or any foreign countries, and any reissues, re-examinations, renewals, continuations, continuation-in-parts, divisionals or extensions thereof that may be issued or granted, and all right, title and interest to the inventions contained in said Patents and Applications, for the United States and all foreign countries, and all the rights and privileges relating thereto including but not limited to the priority rights arising from said Applications, the right to recover and take all such proceedings as may be necessary for the recovery of damages or otherwise in respect of past, present and future infringement, and the right to apply for, take and maintain patents on said inventions.

If any portion of this Combined Declaration or Assignment is held unenforceable, then remaining portions hereof shall nevertheless remain in full force and effect.

LEGAL NAME OF INVENTOR

Inventor: RUILONG XIE

Date: 9/12/2016

Signature: 

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

**COMBINED DECLARATION and ASSIGNMENT (37 CFR 1.63) FOR UTILITY OR DESIGN  
APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)**

**Title of  
Invention**

METHODS OF FORMING A VERTICAL TRANSISTOR DEVICE

**DECLARATION**

As the below named inventor, I hereby declare that:

This declaration is directed to:  The attached application, or  
 United States application or PCT international application number ..... filed on  
.....

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 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.

I have reviewed and understand the contents of the application and am aware of the duty to disclose to the US Patent and Trademark Office all information known to me to be material to patentability as defined in 37 CFR § 1.56.

**ASSIGNMENT**


For good and valuable consideration, the receipt, sufficiency and adequacy of which are hereby acknowledged, I hereby sell, assign, transfer, to GLOBALFOUNDRIES Inc. having a business address of PO Box 309, Umland House, Grand Cayman KY1-1104 its successors and assigns, absolutely and forever, my entire right, title and interest in and to the invention listed above, together with the Application, any and all Patents that may issue in the United States and/or any foreign countries, and any reissues, re-examinations, renewals, continuations, continuation-in-parts, divisionals or extensions thereof that may be issued or granted, and all right, title and interest to the inventions contained in said Patents and Applications, for the United States and all foreign countries, and all the rights and privileges relating thereto including but not limited to the priority rights arising from said Applications, the right to recover and take all such proceedings as may be necessary for the recovery of damages or otherwise in respect of past, present and future infringement, and the right to apply for, take and maintain patents on said inventions.

If any portion of this Combined Declaration or Assignment is held unenforceable, then remaining portions hereof shall nevertheless remain in full force and effect.

**LEGAL NAME OF INVENTOR**

Inventor: STEVEN J. BENTLEY

Date: 9/12/16

Signature: 

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

Title of  
InventionCOMBINED DECLARATION and ASSIGNMENT (37 CFR 1.53) FOR UTILITY OR DESIGN  
APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)  
METHODS OF FORMING A VERTICAL TRANSISTOR DEVICE

## DECLARATION

As the below named inventor, I hereby declare that:

This declaration  
is directed to:

The attached application, or

United States application or PCT international application number \_\_\_\_\_ filed on  
\_\_\_\_\_.

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.

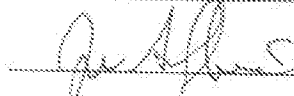
I hereby acknowledge that any willful false statement made in this declaration is punishable under 18 U.S.C. 1001 by  
fine or imprisonment of not more than five (5) years, or both.I have reviewed and understand the contents of the application and am aware of the duty to disclose to the US Patent and  
Trademark Office all information known to me to be material to patentability as defined in 37 CFR § 1.56.

## ASSIGNMENT

For good and valuable consideration, the receipt, sufficiency and adequacy of which are hereby acknowledged, I hereby sell, assign, transfer, to GLOBALFOUNDRIES Inc. having a business address of PO Box 309, Umland House, Grand Cayman KY1-1104 its successors and assigns, absolutely and forever, my entire right, title and interest in and to the invention listed above, together with the Application, any and all Patents that may issue in the United States and/or any foreign countries, and any reissues, re-examinations, renewals, continuations, continuation-in-parts, divisionals or extensions thereof that may be issued or granted, and all right, title and interest to the inventions contained in said Patents and Applications, for the United States and all foreign countries, and all the rights and privileges relating thereto including but not limited to the priority rights arising from said Applications, the right to recover and take all such proceedings as may be necessary for the recovery of damages or otherwise in respect of past, present and future infringement, and the right to apply for, take and maintain patents on said inventions.

If any portion of this Combined Declaration or Assignment is held unenforceable, then remaining portions hereof shall nevertheless remain in full force and effect.

LEGAL NAME OF INVENTOR

Inventor: JODY A. FRONHEISERDate: 9/14/2016Signature: 

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