

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT5600773

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
RALPH WUENSCH	06/17/2019
OLIVER STOJANOVIC	02/26/2016
HORST KRIEGER	06/24/2019
NIKOLAUS HOCHGATTERER	06/04/2019
WERNER AMREICH	06/12/2019
RECEIVING PARTY DATA	
Name:	SAMSUNG SDI CO., LTD.
Street Address:	150-20, GONGSE-RO, GIHEUNG-GU
City:	YONGIN-SI, GYEONGGI-DO
State/Country:	KOREA, REPUBLIC OF
Postal Code:	17084
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	16474002
CORRESPONDENCE DATA	
Fax Number:	(626)577-8800
<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:	(626)795-9900
Email:	pto@lrrc.com
Correspondent Name:	LEWIS ROCA ROTHGERBER CHRISTIE LLP
Address Line 1:	P.O. BOX 29001
Address Line 4:	GLENDALE, CALIFORNIA 91209
ATTORNEY DOCKET NUMBER:	174713/JEJ/FMO
NAME OF SUBMITTER:	FRANCES M. O'BRIEN
SIGNATURE:	/Frances M. O'Brien/
DATE SIGNED:	07/02/2019
Total Attachments: 7	
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INVENTOR'S DECLARATION AND ASSIGNMENT
FOR PATENT APPLICATION

PATENT

Title of Invention: BATTERY SYSTEM AND VEHICLE INCLUDING SAME
Docket No.: 174713

INVENTOR'S DECLARATION

As a below named inventor, I hereby declare that:

This declaration is directed to the attached application unless the following is checked:

☒ United States Application or PCT International Application Number PCT/KR2017/014626
filed on December 13, 2017.

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 above-identified 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 37 C.F.R. § 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 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.

ASSIGNMENT

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, the undersigned,

(1) Ralph WUENSCH, Oliver STOJANOVIC, Horst KRIEGER, Nikolaus HOCHGATTERER, and Werner AMREICH

HEREBY SELL(S), ASSIGN(S) AND TRANSFER(S) TO

(2) SAMSUNG SDI CO., LTD.

having a place of business at

(3) 150-20 Gongse-ro, Giheung-gu, Yongin-si, Gyeonggi-do 17084, Republic of Korea

(hereinafter called "ASSIGNEE") the entire right, title and interest in and to any and all improvements which are disclosed in the application for United States Letters Patent entitled

(4) BATTERY SYSTEM AND VEHICLE INCLUDING SAME

INVENTOR'S DECLARATION AND ASSIGNMENT
FOR PATENT APPLICATION

Docket No.: 174713

which application executed on even date
herewith or was

(a) executed on (5a): _____

(b) filed on (5b): June 26, 2019

Application No.: 16/474,002

(LEWIS ROCA ROTHGERBER CHRISTIE
LLP, P.O. Box 28001, Glendale, CA 91209-
9001) is hereby authorized to insert in (b) the
specified data, when known.

including any and all United States Patents which may be granted on said application, and any
and all extensions, divisions, reissues, substitutes, renewals or continuations of said application
and patents, and the right to all benefits under all international conventions for the protection of
industrial property and applications for said improvements.

It is hereby authorized and requested that the Commissioner of Patents issue any and all of said
Letters Patent, when granted, to said ASSIGNEE, its assigns or its successors in interest or its
designee.

Upon said consideration, it is further agreed that, when requested, without charge to but at the
expense of said ASSIGNEE, the undersigned will execute all divisional, continuing, substitute,
renewal, and reissue patent applications; execute all rightful other papers; and generally do
everything possible which said ASSIGNEE shall consider desirable for aiding in securing and
maintaining patent protection as provided herein.

Ralph WUENSCHÉ
Legal Name of Inventor

17.6.2019
Date


Signature

Oliver STOJANOVIC
Legal Name of Inventor

Date

Signature

Horst KRIEGER
Legal Name of Inventor

24.6.2019
Date


Signature

INVENTOR'S DECLARATION AND ASSIGNMENT
FOR PATENT APPLICATION

Docket No.: 174713

Nicolaus HOCHGATTERER
Legal Name of Inventor

4.6.2019
Date

Signature

Werner AMREICH
Legal Name of Inventor

12.06.2019
Date

Signature



Personalwesen

Samsung SDI Battery Systems

Unser Zeichen: BH/WR

Premstätten, 26.02.2016

To Whom It May Concern:

Dear Sir or Madam,

This is to certify that Mr. Oliver Stojanovic, born on 1st Oct. 1971 was employed at Samsung SDI Battery System GmbH (till May 2015 - Magna Steyr Battery Systems) from 1st March 2005 until 10th Nov. 2015.

Should you have any questions regarding Mr. Oliver Stijanovic's employment, please contact our office at +43664 88257060.

Samsung SDI Battery Systems GmbH

I.A. W. Sommerbauer
(HR Manager)



SAMSUNG SDI

SAMSUNG SDI

BATTERY SYSTEMS GmbH

Frikusweg 1, 8141 Premstätten, Austria
UID: ATU 65689528

PATENT

REEL: 049650 FRAME: 0135

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**SUBSTITUTE STATEMENT IN LIEU OF AN OATH OR DECLARATION FOR UTILITY
OR DESIGN PATENT APPLICATION (35 U.S.C. 115(d) AND 37 CFR 1.64)**

Title of Invention	BATTERY SYSTEM AND VEHICLE INCLUDING SAME		
This statement is directed to:			
<input type="checkbox"/> The attached application,			
OR			
<input checked="" type="checkbox"/> United States application or PCT international application number <u>PCT/KR2017/014626</u> filed on <u>December 13, 2017</u> .			
LEGAL NAME of inventor to whom this substitute statement applies:			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Oliver STOJANOVIC			
Residence (except for a deceased or legally incapacitated inventor):			
City		State	Country
Mailing Address (except for a deceased or legally incapacitated inventor):			
City		State	Zip
			Country
I believe the above-named inventor or joint inventor to be the original inventor or an original joint inventor of a claimed invention in the application.			
The above-identified application was made or authorized to be made by me.			
I hereby acknowledge that any willful false statement made in this statement is punishable under 18 U.S.C. 1001 by fine or imprisonment of not more than five (5) years, or both.			
Relationship to the inventor to whom this substitute statement applies:			
<input checked="" type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only),			
<input type="checkbox"/> Assignee,			
<input type="checkbox"/> Person to whom the inventor is under an obligation to assign,			
<input type="checkbox"/> Person who otherwise shows a sufficient proprietary interest in the matter (petition under 37 CFR 1.46 is required), or			
<input type="checkbox"/> Joint Inventor.			

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 1 minute to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

PATENT
REEL: 049650 FRAME: 0136

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

SUBSTITUTE STATEMENT

Circumstances permitting execution of this substitute statement:

- ☒ Inventor is deceased,
- ☐ Inventor is under legal incapacity,
- ☐ Inventor cannot be found or reached after diligent effort, or
- ☐ Inventor has refused to execute the oath or declaration under 37 CFR 1.63.

If there are joint inventors, please check the appropriate box below:

- ☒ An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) naming the entire inventive entity has been or is currently submitted.

OR

- ☐ An application data sheet under 37 CFR 1.76 (PTO/AIA/14 or equivalent) has not been submitted. Thus, a Substitute Statement Supplemental Sheet (PTO/AIA/11 or equivalent) naming the entire inventive entity and providing inventor information is attached. See 37 CFR 1.64(b).

WARNING:

Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.

PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

Name: IRENA STOJANOVIC Date (Optional):

Signature: 

APPLICANT NAME AND TITLE OF PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

If the applicant is a juristic entity, list the applicant name and the title of the signer.

Applicant Name:

Title of Person Executing
This Substitute Statement:

The signer, whose title is supplied above, is authorized to act on behalf of the applicant.

Residence of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent):

City RAABA-GRAMBACH State STYRIA Country AUSTRIA

Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent)

WEIHERWEG 1a/2

City RAABA-GRAMBACH State STYRIA Zip 8074 Country AUSTRIA

Note: Use an additional PTO/AIA/02 form for each inventor who is deceased, legally incapacitated, cannot be found or reached after diligent effort, or has refused to execute the oath or declaration under 37 CFR 1.63.

Privacy Act Statement

The **Privacy Act of 1974 (P.L. 93-579)** requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.