

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT5700904

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
JUHEE SOHN	08/29/2019
JUNGGYU NAM	08/29/2019
JUNWON SUH	08/29/2019
JUNGYUP YANG	08/29/2019
HYERI EOM	08/29/2019
JEONGDOO YI	08/29/2019
DAUN HAN	08/29/2019
JUHYEONG HAN	08/29/2019
SEOKHUN HONG	08/29/2019
JANDEE KIM	08/29/2019
BONGKYOUNG PARK	08/29/2019
HYUNHWA SONG	08/29/2019
SOL CHOI	08/29/2019
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:	16491038
CORRESPONDENCE DATA	
Fax Number:	(703)207-0003
<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:	703-207-0008
Email:	eo@lee-iplaw.com
Correspondent Name:	LEE & MORSE, P.C.
Address Line 1:	3141 FAIRVIEW PARK DRIVE

PATENT

Address Line 2:	SUITE 500
Address Line 4:	FALLS CHURCH, VIRGINIA 22042

ATTORNEY DOCKET NUMBER:	302/1800_00
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NAME OF SUBMITTER:	JAY P. BEALE
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SIGNATURE:	/Jay P. Beale/
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DATE SIGNED:	09/04/2019
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Total Attachments: 23

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SAMSUNG SDI CO., LTD.

**COMBINED DECLARATION (37 CFR §1.63) FOR UTILITY PATENT APPLICATION
AND ASSIGNMENT FORM¹**

The undersigned acknowledges that this document is being used both as an assignment of the invention and as the declaration (37 CFR 1.63) for a Utility or Design Application.

WHEREAS, the undersigned, hereinafter referred to collectively as Assignor, has invented:

Title: **ELECTRODE ASSEMBLY AND LITHIUM BATTERY COMPRISING SAME**

for which Assignor is about to make or has made United States or International application for patent.

WHEREAS, as a below named inventor(s), I/(we) hereby declare that:

Section I. Declaration

This declaration is directed to the attached U.S. non-provisional patent application, unless the following is marked:

- ☐ U.S. non-provisional patent application number _____, filed on _____, or
- ☒ PCT international patent application number PCT/KR2018/002239, filed on February 23, 2018
- ☒ as amended by the Preliminary Amendment attached hereto.
- ☐ as amended by the Preliminary Amendment filed on _____.

The above-identified application was made or authorized to be made by me (us).

I (we) believe that I am (we are) the original inventor (original joint inventors) of a claimed invention in the above-identified application.

I (we) 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 hereby state that I have reviewed and understand the contents of the above identified application, including the claims (as amended by any amendment referred to above).

I acknowledge that I am aware of the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56.

¹ This form requires the use of an Application Data Sheet.

Client Ref No. 20150602006 Attorney Ref No. 302/1800_00

COMBINED DECLARATION (37 CFR 1.63) FOR UTILITY PATENT APPLICATION AND ASSIGNMENT
FORM

본 정보는 삼성SDI 정보자산 관리책임자의 허가없이 출력, 배포, 반출을 할 수 없으며, 위규시 관련법령에 의거하여 인사상 불이익을 받을 수 있습니다.

SAMSUNG SDI CO., LTD.

Power of Attorney: I/we hereby appoint as my attorneys, with full powers of substitution and revocation, to prosecute this application and transact all business in the Patent and Trademark Office practitioners associated with Customer Number 27849.

Section II. Assignment

In consideration of the sum of One Dollar (\$1.00) and other good and valuable consideration paid to each of the undersigned, the undersigned hereby sell(s) and assign(s) to

Samsung SDI Co., Ltd.

having an address at 150-20, Gongse-ro, Giheung-gu, Yongin-si, Gyeonggi-do 17084, Republic of Korea (hereinafter designated as the Assignee), the entire (100%) right, title and interest for the United States as defined in 35 USC §100, in the invention described in the application identified in Section I of this document.

Assignor hereby confirms any prior assignment to Assignee, and to the extent that Assignor has not already done so, agrees to assign, and hereby does, sell, assign and transfer unto Assignee and its successors in interest, the full and exclusive right, title and interest in the United States of America and throughout the world, including the right to claim priority under the laws of the United States, the Paris Convention, and any foreign countries, to the inventions as described in the aforesaid application, to the aforesaid application itself, and all divisions, continuations, continuations-in-part, or other applications claiming priority directly or indirectly from the aforesaid application, and any United States or foreign Letters Patent, utility model, or other similar rights which may be granted thereon, including reissues, reexaminations and extensions thereof, and all copyright rights throughout the world in the aforesaid application and the subject matter disclosed therein, these rights, title and interest to be held and enjoyed by Assignee to the full end of the term for which the Letters Patent, utility model, or other similar rights, are granted and any extensions thereof as fully and entirely as the same would have been held by Assignor had this assignment and sale not been made, and the right to sue for, and recover for past infringements of, or liabilities for, any of the rights relating to any of the applications, patents, utility models, or other similar rights, resulting therefrom, and the copyright rights;

Assignor hereby covenants and agrees to execute all instruments or documents required or requested for the making and prosecution of any applications of any type for patent, utility model, or other similar rights, and for copyright, in the United States and in all foreign countries including, but not limited to, any provisional, continuation, continuation-in-part, divisional, renewal or substitute thereof, and as to letters patent any reissue, re-examination, or extension thereof, and for litigation regarding, or for the purpose of protecting title and to the said invention, the United States application for patent, or Letters Patent therefor, and to testify in support thereof, for the benefit of Assignee without further or other compensation than that above set forth;

Client Ref No. 20150602006 Attorney Ref No. 302/1800_00

COMBINED DECLARATION (37 CFR 1.63) FOR UTILITY PATENT APPLICATION AND ASSIGNMENT
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Page 2 of 7

SAMSUNG SDI CO., LTD.

Assignor hereby covenants that no assignment, sale, license, agreement or encumbrance has been or will be entered into which would conflict with this Assignment; and

Assignor hereby requests the United States Patent and Trademark Office to issue the Letters Patent of the United States of America to Assignee, and requests that any official of any country or countries foreign to the United States, whose duty it is to issue or grant patents and applications as aforesaid, to issue the Letters Patent, Utility Model Registration or other similar right to Assignee.

The undersigned hereby grant(s) the law firm of LEE & MORSE, P.C. the power to insert on this Declaration and Assignment any further identification which may be necessary or desirable in order to comply with the rules of the U.S. Patent and Trademark Office for recordation of this document.

Section III. Inventor(s)/Assignor(s) Signature(s)

LEGAL NAME OF FIRST INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	SOHN	Juhee	

SIGNATURE SOHN JUHEE DATE 08/29/19

LEGAL NAME OF SECOND INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	NAM	Junggyu	

SIGNATURE _____ DATE _____

Client Ref No. 20150602006 Attorney Ref No. 302/1800 00

COMBINED DECLARATION (37 CFR 1.63) FOR UTILITY PATENT APPLICATION AND ASSIGNMENT FORM

본 정보는 삼성SDI 정보자산 관리책임자의 허가없이 출력,배포,반출할 수 없으며, 위규시 관련법령에 의거하여 인사상 불이익을 받을 수 있습니다.

SAMSUNG SDI CO., LTD.

LEGAL NAME OF THIRD INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	SUH	Junwon	
SIGNATURE _____ DATE _____			

LEGAL NAME OF FOURTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	YANG	Jungyup	
SIGNATURE _____ DATE _____			

LEGAL NAME OF FIFTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	EOM	Hyeri	
SIGNATURE <u>EOM Hyeri</u> DATE <u>08/29/2019</u>			

Client Ref No. 20150602006 Attorney Ref No. 302/1800_00

COMBINED DECLARATION (37 CFR 1.63) FOR UTILITY PATENT APPLICATION AND ASSIGNMENT
FORM

본 정보는 삼성SDI 정보자산 관리책임자의 허가없이 출력, 배포, 반출될 수 없으며, 위규시 관련법령에 의거하여 인사상 불이익을 받을 수 있습니다.

Page 4 of 7

SAMSUNG SDI CO., LTD.

LEGAL NAME OF SIXTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	YI	Jeongdoo	
<p>SIGNATURE <u>YI Jeongdoo</u> DATE <u>08/29/2019</u></p>			

LEGAL NAME OF SEVENTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	HAN	Daun	
<p>SIGNATURE <u>HAN Daun</u> DATE <u>08/29/2019</u></p>			

LEGAL NAME OF EIGHTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	HAN	Juhyeong	
<p>SIGNATURE <u>HAN Juhyeong</u> DATE <u>08/29/2019</u></p>			

Client Ref No. 20150602006 Attorney Ref No. 302/1800_00COMBINED DECLARATION (37 CFR 1.63) FOR UTILITY PATENT APPLICATION AND ASSIGNMENT
FORM

본 정보는 삼성SDI 정보자산 관리책임자의 허가없이 출력, 배포, 반출을 할 수 없으며, 위규시 관련법령에 의거하여 인사상 불이익을 받을 수 있습니다.

SAMSUNG SDI CO., LTD.

LEGAL NAME OF NINTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	HONG	Seokhun	
SIGNATURE _____ DATE _____			

LEGAL NAME OF TENTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	KIM	Jandee	
SIGNATURE _____ DATE _____			

LEGAL NAME OF ELEVENTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	PARK	Bongkyoung	
SIGNATURE _____ DATE _____			

Client Ref No. 20150602006 Attorney Ref No. 302/1800_00

COMBINED DECLARATION (37 CFR 1.63) FOR UTILITY PATENT APPLICATION AND ASSIGNMENT
FORM

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PATENT
REEL: 050269 FRAME: 0391

SAMSUNG SDI CO., LTD.

LEGAL NAME OF TWELFTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	SONG	Hyunhwa	
SIGNATURE _____ DATE _____			

LEGAL NAME OF THIRTEENTH INVENTOR/ASSIGNOR	Family Name	First Given Name	Second Given Name
	CHOI	Sol	
SIGNATURE _____ DATE _____			

Client Ref No. 20150602006 Attorney Ref No. 302/1800_00

Doc code: Oath

Document Description: Oath or declaration filed

PTO/AIA/02 (07-13)

Approved for use through 04/30/2017. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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	ELECTRODE ASSEMBLY AND LITHIUM BATTERY COMPRISING SAME		
This statement is directed to:			
<input checked="" type="checkbox"/> The attached application,			
OR			
<input type="checkbox"/> United States application or PCT international application number _____ filed on _____			
LEGAL NAME of inventor to whom this substitute statement applies:			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Hyunhwa SONG			
Residence (except for a deceased or legally incapacitated inventor):			
City	Yongin-si, Gyeonggi-do	State	Country Republic of Korea
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu			
City	Yongin-si, Gyeonggi-do	State	Zip 17084 Country Republic of Korea
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 type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only),			
<input type="checkbox"/> Assignee,			
<input checked="" 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.

PTO/SB/AIA02 (07-13)

Approved for use through 01/31/2014. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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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: <u>Tae-weon HEO, Director, Samsung SDI</u>	Date (Optional):
Signature: <u>Tae-weon HEO</u>	

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:

Samsung SDI Co., Ltd.

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 <u>Yongin-si, Gyeonggi-do</u>	State	Country <u>Republic of Korea</u>
Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent) <u>c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu</u>		

City <u>Yongin-si, Gyeonggi-do</u>	State	Zip <u>17084</u>	Country <u>Republic of Korea</u>
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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.

Doc code: Oath

Document Description: Oath or declaration filed

PTO/AIA/02 (07-13)

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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	ELECTRODE ASSEMBLY AND LITHIUM BATTERY COMPRISING SAME		
This statement is directed to:			
<input checked="" type="checkbox"/> The attached application, OR <input type="checkbox"/> United States application or PCT international application number _____ filed on _____			
LEGAL NAME of inventor to whom this substitute statement applies:			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Junggyu NAM			
Residence (except for a deceased or legally incapacitated inventor):			
City	Yongin-si, Gyeonggi-do	State	Country Republic of Korea
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu			
City	Yongin-si, Gyeonggi-do	State	Zip 17084 Country Republic of Korea
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 type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only), <input type="checkbox"/> Assignee, <input checked="" 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]

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Circumstances permitting execution of this substitute statement:

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- ☐ 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.

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PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

Name: Tae Weon MED, Director Samsung SDI Date (Optional):

Signature: Tae Weon MED

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:

Samsung SDI Co., Ltd.

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	Yongin-si, Gyeonggi-do	State		Country	Republic of Korea
Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent)					
c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu					
City	Yongin-si, Gyeonggi-do	State		Zip	17084
				Country	Republic of Korea

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[Page 2 of 2]

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Document Description: Oath or declaration filed

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<input checked="" type="checkbox"/> The attached application, OR <input type="checkbox"/> United States application or PCT international application number _____ filed on _____			
LEGAL NAME of inventor to whom this substitute statement applies:			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Seokhun HONG			
Residence (except for a deceased or legally incapacitated inventor):			
City	Yongin-si, Gyeonggi-do	State	Country Republic of Korea
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu			
City	Yongin-si, Gyeonggi-do	State	Zip 17084 Country Republic of Korea
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 type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only), <input type="checkbox"/> Assignee, <input checked="" 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]

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

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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

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PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

Name: Tae-weon Heo, Director, Samsung SDI Date (Optional):

Signature: Tae-weon Heo

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:

Samsung SDI Co., Ltd.

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	Yongin-si, Gyeonggi-do	State		Country	Republic of Korea
Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent)					
c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu					
City	Yongin-si, Gyeonggi-do	State		Zip	17084
				Country	Republic of Korea

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[Page 2 of 2]

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Title of Invention	ELECTRODE ASSEMBLY AND LITHIUM BATTERY COMPRISING SAME		
This statement is directed to:			
<input checked="" type="checkbox"/> The attached application, OR <input type="checkbox"/> United States application or PCT international application number _____ filed on _____			
LEGAL NAME of inventor to whom this substitute statement applies:			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Junwon SUH			
Residence (except for a deceased or legally incapacitated inventor):			
City	Yongin-si, Gyeonggi-do	State	Country Republic of Korea
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu			
City	Yongin-si, Gyeonggi-do	State	Zip 17084 Country Republic of Korea
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Signature: <u>Tae-weon HEO</u>	

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Bongkyoung PARK			
Residence (except for a deceased or legally incapacitated inventor):			
City	Yongin-si, Gyeonggi-do	State	Country Republic of Korea
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu			
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PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

Name: <u>Tae-won Heo, Director, Samsung SDI</u>	Date (Optional):
Signature: <u>Tae-won Heo</u>	

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:

Samsung SDI Co., Ltd.

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 <u>Yongin-si, Gyeonggi-do</u>	State	Country <u>Republic of Korea</u>
Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent) <u>c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu</u>		
City <u>Yongin-si, Gyeonggi-do</u>	State	Zip <u>17084</u>
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[Page 2 of 2]

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<input checked="" type="checkbox"/> The attached application, OR <input type="checkbox"/> United States application or PCT international application number _____ filed on _____			
LEGAL NAME of inventor to whom this substitute statement applies:			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Jungyup YANG			
Residence (except for a deceased or legally incapacitated inventor):			
City	Yongin-si, Gyeonggi-do	State	Country Republic of Korea
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu			
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PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

Name:

Taeweon Heo, Director, Samsung SPL

Date (Optional):

Signature:

Taeweon Heo

APPLICANT NAME AND TITLE OF PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

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Residence (except for a deceased or legally incapacitated inventor):			
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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:

Samsung SDI Co., Ltd.

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 Yongin-si, Gyeonggi-do State Country Republic of Korea

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

c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu

City Yongin-si, Gyeonggi-do State Zip 17084 Country Republic of Korea

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.

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Document Description: Oath or declaration filed

PTO/AIA/02 (07-13)

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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	ELECTRODE ASSEMBLY AND LITHIUM BATTERY COMPRISING SAME		
This statement is directed to:			
<input checked="" type="checkbox"/> The attached application, OR <input type="checkbox"/> United States application or PCT international application number _____ filed on _____			
LEGAL NAME of inventor to whom this substitute statement applies:			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Jandee KIM			
Residence (except for a deceased or legally incapacitated inventor):			
City	Yongin-si, Gyeonggi-do	State	Country Republic of Korea
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o Samsung SDI Co., Ltd., 150-20, Gongse-ro, Giheung-gu			
City	Yongin-si, Gyeonggi-do	State	Zip 17084 Country Republic of Korea
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 type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only), <input type="checkbox"/> Assignee, <input checked="" 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.**

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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).

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PERSON EXECUTING THIS SUBSTITUTE STATEMENT:

Name: Tae-weon Heo, Director, Samsung SDI Date (Optional):

Signature: Tae-weon Heo

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:

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