

## PATENT ASSIGNMENT COVER SHEET

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<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
MAZUIR SHAH	10/09/2019
BEN JARDINE	07/04/2019
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	ARRIVAL LIMITED
<b>Street Address:</b>	UNIT 2, SOUTHAM ROAD
<b>City:</b>	BANBURY OXFORDSHIRE
<b>State/Country:</b>	GREAT BRITAIN
<b>Postal Code:</b>	OX16 2SN
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
Application Number:	16479514
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<b>ATTORNEY DOCKET NUMBER:</b>	K057-0022US
<b>NAME OF SUBMITTER:</b>	LEANN M CARMAN
<b>SIGNATURE:</b>	/LeAnn M Carman/
<b>DATE SIGNED:</b>	10/10/2019
<b>Total Attachments: 5</b>	
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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)**

<b>Title of Invention</b>	Thermal Management Unit and System		
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>16/479,514</u> filed on <u>7/19/2019</u>			
<b>LEGAL NAME of inventor to whom this substitute statement applies:</b>			
(E.g., Given Name (first and middle (if any)) and Family Name or Surname)			
Mazuir SHAH			
Residence (except for a deceased or legally incapacitated inventor):			
Banbury Oxfordshire City	State	GB Country	
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o Arrival Limited, Unit 2, Southam Road			
Banbury Oxfordshire City	State	OX16 2SN Zip	GB 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 type="checkbox"/> Legal Representative (for deceased or legally incapacitated inventor only),			
<input checked="" 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.			

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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.

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: ANDREW REID Date (Optional): 9/10/19  
Signature: [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:

ARRIVAL LIMITED

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	Banbury Oxfordshire	State		Country	GB
Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent)					
Unit 2, Southam Road					
City	Banbury Oxfordshire	State		Zip	OX16 2SN
				Country	GB

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.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Serial Number.....  
Filing Date.....  
Inventorship..... SHAH et al.  
Applicant..... ARRIVAL LIMITED  
Attorney's Docket No. .... K057-0022US  
Client Docket No..... P124902US-WO  
Title:..... Thermal Management Unit and System

PATENT ASSIGNMENT

PARTIES TO THE ASSIGNMENT

Assignor(s):

Mazuir SHAH  
c/o Unit 2, Southam Road  
Banbury Oxfordshire, OX1 6 2SN  
GB

Ben JARDINE  
c/o Unit 2, Southam Road,  
Banbury Oxfordshire, OX16 2SN  
GB

Assignee:

ARRIVAL LIMITED  
Unit 2, Southam Road  
Banbury Oxfordshire, OX16 2SN  
GB

AGREEMENT

WHEREAS, ASSIGNOR(S) (listed above) are inventor(s) of an invention entitled  
"Thermal Management Unit and System" for which:

☐ a provisional application for United States Letters Patent was filed on \_\_\_\_\_ and  
was given U.S. Serial No. \_\_\_\_\_ and/or

☒ a non-provisional application for United States Letters Patent was:

☒ filed on \_\_\_\_\_ and was given U.S. Serial No.  
\_\_\_\_\_; or filed concurrently herewith. Assignors hereby authorize and  
request ASSIGNEE's legal representatives, of Lee & Hayes, P.C., 601 W Riverside Ave., Suite

1400, Spokane, Washington 99201, who are associated with 29150, to insert in the caption above the serial number and filing date of the patent application when known.

WHEREAS, ARRIVAL LIMITED (hereinafter referred to as ASSIGNEE), having a place of business at Unit 2, Southam Road, Banbury Oxfordshire, GB 0X16 2SN, desires to acquire the entire right, title and interest in and to the invention and in and to any letters patent that may be granted in the United States and in any and all foreign countries;


NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S) hereby sell, assign and transfer unto ASSIGNEE, the entire right, title and interest in and to said application and any and all letters patent which may be granted for said invention in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from said United States application to which said foreign applications are entitled by virtue of international convention, treaty or otherwise, said invention, application and all letters patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns for their use and benefit and of their successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNOR(S) had this assignment, transfer and sale not been made. ASSIGNOR(S) hereby authorize and request the Commissioner of Patents and Trademarks to issue all letters patent on said invention to ASSIGNEE. ASSIGNOR(S) agree to execute all instruments and documents required for the making and prosecution of applications for United States and foreign letters patent on said invention, for litigation regarding said letters patent, or for the purpose of protecting title to said invention or letters patent.

Date

4<sup>th</sup> July 2019

Date

Mazuir SHAH

  
Ben JARDINE