

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT5950006

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT	
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT	
<b>CONVEYING PARTY DATA</b>		
	<b>Name</b>	<b>Execution Date</b>
	TETSUYA MITSUMOTO	07/18/2019
<b>RECEIVING PARTY DATA</b>		
<b>Name:</b>	MITSUI MINING & SMELTING CO., LTD.	
<b>Street Address:</b>	1-11-1, OSAKI, SHINAGAWA-KU	
<b>City:</b>	TOKYO	
<b>State/Country:</b>	JAPAN	
<b>Postal Code:</b>	1418584	
<b>PROPERTY NUMBERS Total: 1</b>		
	<b>Property Type</b>	<b>Number</b>
	Application Number:	16637056
<b>CORRESPONDENCE DATA</b>		
<b>Fax Number:</b>	(412)471-4094	
<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>	412-471-8815	
<b>Email:</b>	assignments@webblaw.com	
<b>Correspondent Name:</b>	THE WEBB LAW FIRM, P.C.	
<b>Address Line 1:</b>	ONE GATEWAY CENTER	
<b>Address Line 2:</b>	420 FT. DUQUESNE BLVD, SUITE 1200	
<b>Address Line 4:</b>	PITTSBURGH, PENNSYLVANIA 15222	
<b>ATTORNEY DOCKET NUMBER:</b>	5734-2000198	
<b>NAME OF SUBMITTER:</b>	LARA NORTHPROP QUEEN REG. #55502	
<b>SIGNATURE:</b>	/Lara Northrop Queen/	
<b>DATE SIGNED:</b>	02/06/2020	
<b>Total Attachments: 3</b>		
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source=Assignment#page1.tif		
source=Assignment#page2.tif		

RECORDATION FORM COVER SHEET  
**PATENTS ONLY**

To the Director of the U.S. Patent and Trademark Office: Please record the attached documents or the new address(es) below.

**1. Name of conveying party(ies)**

Tetsuya MITSUMOTO

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

**3. Nature of conveyance/Execution Date(s):**

Execution Date(s) July 18, 2019

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Joint Research Agreement  
☐ Government Interest Assignment  
☐ Executive Order 9424, Confirmatory License  
☐ Other \_\_\_\_\_

**2. Name and address of receiving party(ies)**

Name: Mitsui Mining & Smelting Co., Ltd.

Internal Address: \_\_\_\_\_

Street Address: 1-11-1, Osaki, Shinagawa-ku

City: Tokyo

State: \_\_\_\_\_

Country: JAPAN Zip: 1418584

Additional name(s) & address(es) attached? ☐ Yes ☒ No

**4. Application or patent number(s):**

☐ This document serves as an Oath/Declaration (37 CFR 1.63).

A. Patent Application No.(s)

16/637,056

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

**5. Name and address to whom correspondence concerning document should be mailed:**

Name: Lara Northrop Queen

Internal Address: The Webb Law Firm

Street Address: One Gateway Center  
420 Ft. Duquesne Blvd., Ste 1200

City: Pittsburgh

State: PA Zip: 15222

Phone Number: 412-471-8815

Docket Number: 5734 - 2000198

Email Address: assignments@webblaw.com

**6. Total number of applications and patents involved: 1**

**7. Total fee (37 CFR 1.21(h) & 3.41) \$ 0**

- ☐ Authorized to be charged to deposit account  
☐ Enclosed  
☐ None required (government interest not affecting title)

**8. Payment Information**

Deposit Account Number \_\_\_\_\_

Authorized User Name \_\_\_\_\_

**9. Signature:**

/Lara Northrop Queen/

Signature

February 6, 2020

Date

Lara Northrop Queen  
Name of Person Signing

Total number of pages including cover sheet, attachments, and documents:

3

Documents to be recorded (including cover sheet) should be faxed to (571) 273-0140, or mailed to:  
Mail Stop Assignment Recordation Services, Director of the USPTO, P.O.Box 1450, Alexandria, V.A. 22313-1450

**PATENT**

**REEL: 051741 FRAME: 0136**

Application No. \_\_\_\_\_

Attorney Docket No. \_\_\_\_\_

**ASSIGNMENT**

WHEREAS, as a below named inventor, I have invented certain new and useful improvements in

SI-BASED NEGATIVE ELECTRODE ACTIVE MATERIAL

(Invention Title)

☐ for which I have this day executed an application for a United States Patent (hereinafter "said application").

AND/OR

☐ for which an application for a United States Patent was filed on \_\_\_\_\_ (mm/dd/yyyy) and bears Application Number \_\_\_\_\_ (hereinafter "said application").

AND/OR

☒ for which an international patent application was filed under the Patent Cooperation Treaty on 08/10/2018 (mm/dd/yyyy), bearing Application No. PCT/IP2018/030062 (hereinafter "said application").

AND, WHEREAS, Mitsui Mining & Smelting Co., Ltd., a corporation of JAPAN, having a place of business at 1-11-1, Osaki, Shinagawa-ku, Tokyo 141-8584, hereinafter called the "assignee", is desirous of acquiring the entire right, title, and interest in and to said application and the inventions and improvements therein disclosed.

NOW, THEREFORE, for good and valuable consideration paid to me by said assignee, the receipt of which is hereby acknowledged, I as the inventor or as one of the inventors, hereinafter the assignor(s), do hereby assign, sell and transfer unto said assignee the full and exclusive right, title and interest in and to said application and the inventions and improvements therein disclosed for the United States and all foreign countries and any Letters Patent which may issue therefor in the United States and all foreign countries and all divisions, reissues, continuations, continuations-in-part, renewals and/or extensions thereof. Such assignment extends to the full ends of the terms of these applications and patents as fully and entirely as the same would have been held and enjoyed by me had this Assignment not been made.

I hereby authorize and request any attorney associated with The Webb Law Firm, Customer No. 28289, to insert here in parentheses (Application No. 16/637,056, filed 08/10/2018) the filing date and application number of said application when known.

I covenant that I am the lawful owner(s) of said application, inventions and improvements, that the same are unencumbered, that no license has been granted to make, use or vend the said inventions or improvements or any of them, and that I have the full right to make this Assignment.

And for the consideration aforesaid, I agree individually and, if applicable, jointly that I will communicate to said assignee or the representatives thereof any facts known to me respecting said inventions and improvements, and will, upon request but without expense to me, testify in any legal proceedings, sign all lawful papers, execute all divisional, reissue,

Application No. \_\_\_\_\_

Attorney Docket No. \_\_\_\_\_

continuation, continuation-in-part, renewal and/or extension applications, make all rightful oaths, and generally do all other and further lawful acts deemed necessary or expedient by said assignee or by counsel for said assignee to assist or enable said assignee to obtain and enforce full benefits from the rights and interests herein assigned. This Assignment shall be binding upon my heirs, executors, administrators and/or assigns, and shall inure to the benefit of the heirs, executors, administrators, successors and/or assigns, as the case may be, of said assignee.

1. FULL NAME OF ASSIGNOR:

Tetsuya MITSUMOTO

RESIDENCE:

Takehara-shi, JapanEXECUTED this 18<sup>th</sup> day of July, 2019Tetsuya MITSUMOTO

SIGNATURE

WITNESS:

Shigeru Taguchi

2. FULL NAME OF ASSIGNOR:

RESIDENCE:

EXECUTED this \_\_\_\_\_ day of \_\_\_\_\_, 2019

SIGNATURE

WITNESS:

☐ Checked Box indicates \_\_\_\_\_ additional page(s) for inventor signatures.