

PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1
 Stylesheet Version v1.2

EPAS ID: PAT6804442

SUBMISSION TYPE:	NEW ASSIGNMENT
NATURE OF CONVEYANCE:	ASSIGNMENT
CONVEYING PARTY DATA	
Name	Execution Date
ERIC J. MOOAR	03/11/2021
TRAVIS SCHUBERT	03/25/2021
TRAVIS WRIGHT	03/11/2021
CHRIS PAPA	03/11/2021
JOHN D. BOYER	04/19/2021
JONATHAN M. HERMANSEN	04/20/2021
RECEIVING PARTY DATA	
Name:	LSI INDUSTRIES, INC.
Street Address:	10000 ALLIANCE ROAD
City:	CINCINNATI
State/Country:	OHIO
Postal Code:	45242
PROPERTY NUMBERS Total: 1	
Property Type	Number
Application Number:	29667041
CORRESPONDENCE DATA	
Fax Number:	(513)241-6234
<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:	5132412324
Email:	retienne@whe-law.com
Correspondent Name:	DAVID H. BRINKMAN
Address Line 1:	2700 CAREW TOWER
Address Line 2:	441 VINE STREET
Address Line 4:	CINCINNATI, OHIO 45202-2917
ATTORNEY DOCKET NUMBER:	LSIND-22DES
NAME OF SUBMITTER:	DAVID H. BRINKMAN
SIGNATURE:	/DAVID H. BRINKMAN/
DATE SIGNED:	07/09/2021
This document serves as an Oath/Declaration (37 CFR 1.63).	

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Total Attachments: 6

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

Title of Invention: SURFACE MOUNT LUMINAIRE

As the below named inventor, I hereby declare that:

This Declaration is directed to:

☐ The attached application

OR

☒ United States Application Number or PCT International Application

Number 29/667,041 filed on 10/18/2018

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 am aware of the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in 37 C.F.R. § 1.56.

Whereas, the undersigned inventor(s) has/have made certain inventions, improvements and discoveries (herein referred to as the "Invention") disclosed in the above-identified patent application;

Whereas, LSI Industries, Inc., a Corporation of Ohio, having a place of business at 10000 Alliance Road, Cincinnati, Ohio 45242 (herein referred to as the "ASSIGNEE"), desires to acquire, and each undersigned inventor desires to grant to the ASSIGNEE, the entire worldwide right, title, and interest in and to the Invention and in and to any and all patent applications and patents directed thereto;

Now, therefore, for good and valuable consideration, the receipt and sufficiency thereof being hereby acknowledged, each undersigned inventor ("ASSIGNOR") hereby sells or has sold, assigns or has assigned, and otherwise transfers or has transferred to the ASSIGNEE, its successors, legal representatives, and assigns, the entire worldwide right, title, and interest in and to the Invention, the above-identified United States patent application, and any and all other patent applications and patents for the Invention which may be applied for or granted therefor in the United States and in all foreign countries and jurisdictions, including all divisions, continuations, reissues, reexaminations, renewals, extensions, counterparts, substitutes, and extensions thereof, and all rights of priority resulting from the filing of such applications and granting of such patents. In addition, each undersigned inventor hereby authorizes and requests the Director of the United States Patent and Trademark Office to issue any United States Patent, and foreign patent authorities to issue any foreign patent, granted for the Invention, to the

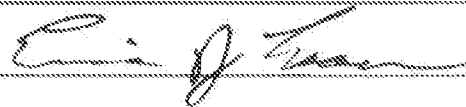
ASSIGNEE, its successors, legal representatives, and assigns, the entire worldwide right, title, and interest in and to the same to be held and enjoyed by the ASSIGNEE, its successors, legal representatives, and assigns to the full end of the terms for which any and all such patents may be granted, as fully and entirely as would have been held and enjoyed by the undersigned had this Assignment not been made; and each undersigned inventor agrees to execute any and all documents and instruments and perform all lawful acts reasonably related to recording this Assignment or perfecting title to the Invention and all related patents and applications, in the ASSIGNEE, its successors, legal representatives, and assigns, whenever requested by the ASSIGNEE, its successors, legal representatives, or assigns.

Each undersigned inventor acknowledges their prior and ongoing obligations to sell, assign, and transfer the rights under this Assignment to the ASSIGNEE and is unaware of any reason why they may not have the full and unencumbered right to sell, assign, and transfer the rights hereby sold, assigned, and transferred, and has not executed, and will not execute, any document or instrument in conflict herewith. Each undersigned inventor also hereby grants the ASSIGNEE, its successors, legal representatives, and assigns, the right to insert in this Assignment any further identification (including, but not limited to, patent Application Number) which may be necessary or desirable for recordation of this Assignment. This Assignment is governed by the substantive laws of Ohio, and any disputes will be resolved in a court sited in Ohio.

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.

Legal name of Inventor: Eric J. Mooar

Inventor's Signature: _____



Date: 3/11/21

Residence

City/State/Country:

Liberty Township, OH, United States of America


Mailing Address:

6509 Michele Lane, Liberty Township, Ohio 45044

Citizenship:

US

Legal name of Inventor: Travis Schubert

Inventor's Signature: 

Date: 3-25-21


Residence

City/State/Country: Norfolk, VA, United States of America

Mailing Address: 300 Yarmouth Street, Norfolk, Virginia 23510

Citizenship: US

Legal name of Inventor: Travis Wright

Inventor's Signature: 

Date: 3/11/21

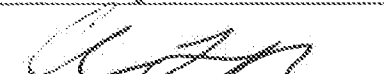
Residence

City/State/Country: Cincinnati, OH, United States of America

Mailing Address: 837 Sunderland Drive, Cincinnati, Ohio 45255

Citizenship: US

Legal name of Inventor: Chris Papa

Inventor's Signature: 

Date: 3-11-21

Residence

City/State/Country: Cincinnati, OH, United States of America

Mailing Address: 10000 Alliance Road, Cincinnati, Ohio 45242

Citizenship: US

Legal name of Inventor: John D. Boyer

Inventor's Signature: _____

John D. Boyer

Date: APRIL 19, 2021

Residence

City/State/Country: _____

Lebanon, OH, United States of America

Mailing Address: _____

7112 Larkspur Lane, Lebanon, Ohio 45044

Citizenship: _____

US

Legal name of Inventor: Jonathan M. Hermansen

Inventor's Signature: _____

Date: _____

Residence

City/State/Country: _____

Maineville, OH, United States of America

Mailing Address: _____

7730 Hillsdowne Circle, Maineville, Ohio 45039

Citizenship: _____

US

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	Surface Mount Luminaire		
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)			
Jonathan M. Hermansen			
Residence (except for a deceased or legally incapacitated inventor):			
City	Maineville	State	OH U.S.
Mailing Address (except for a deceased or legally incapacitated inventor):			
7730 Hillsdowne Circle			
City	Maineville	State	OH 40539 U.S.
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.			

[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.

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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: **John D. Boyer** Date (Optional): **04/20/21**

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: **LSI INDUSTRIES, INC.**

Title of Person Executing This Substitute Statement: **Certifications Manager**

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 **Lebanon** State **OH** Country **U.S.**

Mailing Address of the signer (unless provided in an application data sheet, PTO/AIA/14 or equivalent)
7112 Larkspur Lane

City **Lebanon** State **OH** Zip **45044** Country **U.S.**

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.