

## PATENT ASSIGNMENT COVER SHEET

Electronic Version v1.1  
 Stylesheet Version v1.2

EPAS ID: PAT7616721

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT
<b>NATURE OF CONVEYANCE:</b>	ASSIGNMENT
<b>CONVEYING PARTY DATA</b>	
<b>Name</b>	<b>Execution Date</b>
SUSUMU SATO	03/04/2019
TATSUSHI HAMAGUCHI	03/06/2019
SHOICHIRO IZUMI	03/08/2019
NORIYUKI FUTAGAWA	03/06/2019
MASAMICHI ITO	03/05/2019
JUGO MITOMO	03/04/2019
HIROSHI NAKAJIMA	03/07/2019
<b>RECEIVING PARTY DATA</b>	
<b>Name:</b>	SONY CORPORATION
<b>Street Address:</b>	1-7-1, KONAN, MINATO-KU
<b>City:</b>	TOKYO
<b>State/Country:</b>	JAPAN
<b>Postal Code:</b>	108-0075
<b>PROPERTY NUMBERS Total: 1</b>	
<b>Property Type</b>	<b>Number</b>
<b>Application Number:</b>	17975219
<b>CORRESPONDENCE DATA</b>	
<b>Fax Number:</b>	(312)827-8185
<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>	3128278185
<b>Email:</b>	chicago.patents@klgates.com
<b>Correspondent Name:</b>	K&L GATES
<b>Address Line 1:</b>	P.O. BOX 1135
<b>Address Line 4:</b>	CHICAGO, ILLINOIS 60690-1135
<b>ATTORNEY DOCKET NUMBER:</b>	3712174.04639
<b>NAME OF SUBMITTER:</b>	THOMAS C. BASSO
<b>SIGNATURE:</b>	/Thomas C. Basso/
<b>DATE SIGNED:</b>	10/28/2022

**Total Attachments: 9**

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source=3712174-04639\_Decs#page6.tif

Doc code: Oath  
Document Description: Oath or declaration filed

SP366547 US 00

PTO/AIA/02 (07-13)  
Approved for use through 11/30/2020. 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	LIGHT EMITTING ELEMENT AND METHOD FOR MANUFACTURING 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 _____			
<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)			
SHOICHIRO IZUMI			
Residence (except for a deceased or legally incapacitated inventor):			
City	Kanagawa	State	Country Japan
Mailing Address (except for a deceased or legally incapacitated inventor):			
c/o SONY CORPORATION, 1-7-1, Konan, Minato-ku			
City	Tokyo	State	Zip 108-0075 Country JP
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-9198 and select option 2.

**PATENT**  
**REEL: 061583 FRAME: 0171**

SP366547 US00

PTO/SB/AIA02 (07-13)

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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: Masayoshi Doshida

Date (Optional): March 8, 2019

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: Sony Corporation

Title of Person Executing This Substitute Statement: General Manager, Planning & Control Department, Intellectual Property Division

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 Tokyo State Country Japan

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

1-7-1 Konan, Minato-ku

City Tokyo State Zip 108-0075 Country Japan

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.

[Page 2 of 2]

## 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.

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

Title of  
Invention

**LIGHT-EMITTING ELEMENT AND METHOD OF MANUFACTURING THE SAME**

As the below named inventor, I hereby declare that:

This declaration  
is directed to:

☐ The attached application, or

☒ United States application or PCT international application number PCT/JP2017/031649  
filed on 2017/09/01

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 application.

WHEREAS, SONY CORPORATION, with offices at  
1-7-1 KONAN, MINATO-KU, TOKYO, 108-0075, JAPAN (hereinafter referred to as ASSIGNEE), is desirous of  
acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar  
legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency  
of which are hereby acknowledged, I by these presents do hereby assign, sell and transfer unto said ASSIGNEE, its successors, assigns, and  
legal representatives, the entire right, title and interest in said invention, said application, including any divisions and continuations thereof, and  
in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to  
any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American  
Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America  
adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the  
United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue said United States Letters  
Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its  
designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further  
remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of  
the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for  
application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters  
Patent which may be granted for my aforesaid invention, as said ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said  
application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will  
testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with  
this assignment and sale.

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

Inventor: SUSUMU SATO

Date: March 4, 2019

Signature: Susumu Sato

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legal representatives, the entire right, title and interest in said invention, said application, including any divisions and continuations thereof, and  
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not more than five (5) years, or both.

LEGAL NAME OF INVENTOR

Inventor: TATSUSHI HAMAGUCHI

Date: March 6-2 019

Signature: Tatsushi Hamaguchi

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LEGAL NAME OF INVENTOR

Inventor: NORIYUKI FUTAGAWA

Date: March - 6 - 2019

Signature: Noriyuki Futagawa



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LEGAL NAME OF INVENTOR

Inventor: MASAMICHI ITO

Date: March 5, 2019

Signature: Masamichi Ito

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And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with  
this assignment and sale.

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

Inventor: JUGO MITOMO

Date: March 4, 2019

Signature: 

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

Title of  
Invention

**LIGHT-EMITTING ELEMENT AND METHOD OF MANUFACTURING THE SAME**

As the below named inventor, I hereby declare that:

This declaration  
is directed to:

☐

The attached application, or

☒

United States application or PCT international application number PCT/JP2017/031649

filed on 2017/09/01

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 application.

WHEREAS, SONY CORPORATION, with offices at  
1-7-1 KONAN, MINATO-KU, TOKYO, 108-0075, JAPAN (hereinafter referred to as ASSIGNEE), is desirous of  
acquiring all interest in, to and under said invention, said application disclosing the invention and in, to and under any Letters Patent or similar  
legal protection which may be granted therefor in the United States and in any and all foreign countries;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00), and other good and valuable consideration, the receipt and sufficiency  
of which are hereby acknowledged, I by these presents do hereby assign, sell and transfer unto said ASSIGNEE, its successors, assigns, and  
legal representatives, the entire right, title and interest in said invention, said application, including any divisions and continuations thereof, and  
in and to any and all Letters Patent of the United States, and countries foreign thereto, which may be granted for said invention, and in and to  
any and all priority rights and/or convention rights under the International Convention for the Protection of Industrial Property, Inter-American  
Convention Relating to Patents, Designs and Industrial Models, and any other international agreements to which the United States of America  
adheres, and to any other benefits accruing or to accrue to me with respect to the filing of applications for patents or securing of patents in the  
United States and countries foreign thereto, and I hereby authorize and request the Commissioner of Patents to issue said United States Letters  
Patent to said ASSIGNEE, as the assignee of the whole right, title and interest thereto;

And I further agree to execute all necessary or desirable and lawful future documents, including assignments in favor of ASSIGNEE or its  
designee, as ASSIGNEE or its successors, assigns and legal representatives may from time-to-time present to me and without further  
remuneration, in order to perfect title in said invention, modifications, and improvements in said invention, applications and Letters Patent of  
the United States and countries foreign thereto;

And I further agree to properly execute and deliver and without further remuneration, such necessary or desirable and lawful papers for  
application for foreign patents, for filing subdivisions of said application for patent, and or, for obtaining any reissue or reissues of any Letters  
Patent which may be granted for my aforesaid invention, as said ASSIGNEE thereof shall hereafter require and prepare at its own expense;

And I further agree that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said  
application, said invention and said Letters Patent and legal equivalents in foreign countries as may be known and accessible to me and will  
testify as to the same in any interference or litigation related thereto;

And I hereby covenant that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with  
this assignment and sale.

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**

Inventor: HIROSHI NAKAJIMA

Date: March 7, 2019

Signature: Hiroshi Nakajima

**PATENT**

**RECORDED: 10/28/2022**

**REEL: 061583 FRAME: 0179**