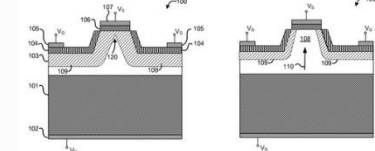
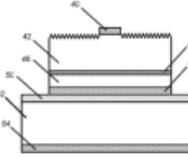


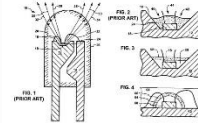
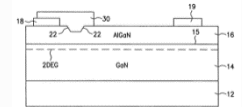
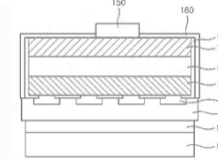
GaN Technologies

Top-100 IP profiles

December 2016



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SAMPLE



Gwangju Institute of
Science and Technology

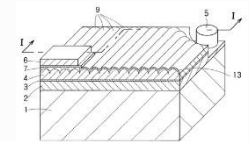
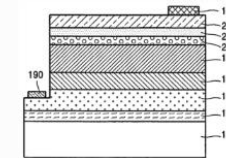


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INTRODUCTION



Knowmade is a Technology Intelligence and IP Strategy consulting company specialized in analysis of patents and scientific information. The company supports R&D organizations, industrial companies and investors in their business development by helping them to understand their IP environment and follow technology trends. **Knowmade** is involved in Microelectronics & Optoelectronics, Compound Semiconductors, IC Manufacturing & Advanced Packaging, Power & RF Devices, MEMS & Sensors, Photonics, Micro & Nanotechnology, Biotech/Pharma, MedTech & Medical Devices. **Knowmade** provides Prior art search, Patent Landscape Analysis, Patent Valuation, Freedom-to-Operate Analysis, Litigation/Licensing support, Scientific Literature Landscape, Technology Scouting and Technology Tracking. **Knowmade** combines information search services, technology expertise, powerful analytics tools and proprietary methodologies for analyzing patents and scientific information. Knowmade's analysts have an in-depth knowledge of scientific & patent databases and Intellectual Property.

We Know Technology, We Know Patents

INTRODUCTION

Key features of the report



- **The report provides essential patent data for IP players related to GaN technologies.**
- **It identifies 100 major patent holders involved in GaN technologies. It provides IP profile for each main patent holders including:**
 - Time evolution of patent publications
 - Current legal status of patents
 - IP collaborations
 - Main IP competitors
 - Main citing patents
 - Segmentation of patents by applications, material properties, growth substrates and growth techniques

INTRODUCTION

Terminologies for Patent Analysis (1/2)



Patent Applicant, Patent Assignee

An applicant is a person or organization (e.g. company, university, etc.) who/which has filed a patent application. An assignee is a person or organization (e.g. company, university, etc.) who/which holds patent rights. There may be more than one applicant/assignee per patent application.

Patent Family

A patent family is a set of patents filed in multiple countries to protect a single invention by a common inventor(s). A first application is made in one country – the priority country – and is then extended to other countries.

Priority Date

The priority date is the date on which the patent application was filed. At this date the patent document is not made available to the public.

Priority Number

The priority number is the number of the application with respect to which priority is claimed, i.e. it is the same as the application number of the claimed priority document. The priority number is made up of a country code (two letters), the year of filing (four digits) and a serial number (variable, maximum seven digits).

Publication Date

The publication date is the date on which the patent application was first published. It is the date on which the patent document is made available to the public, thereby becoming part of the state of the art.

Publication Number

The publication number is the number assigned to a patent application on publication. Publication numbers are generally made up of a country code (two letters) and a serial number (variable, one to twelve digits) (e.g. DE202004009768).

INTRODUCTION

Terminologies for Patent Analysis (2/2)



Citations

In the context of patents, a citation is a reference to a previous work (prior art) that is considered relevant to the considered patent application. Citations may be made by the Inventor or by the Examiner during patent examination.

WO and EP Patent Applications

International (WO) and European (EP) Patent Applications are made through the World Intellectual Property Organization (WIPO) and the European Patent Office (EPO), respectively. WO applications designate signatory states or regions to the Patent Cooperation Treaty (PCT) and will have the same effect as national or regional patent applications in each designated state or region, leading to a granted patent in each state or region. EP applications are regional patent applications designating signatory state to the European Patent Convention (EPC), and leading to granted patents having the same effect as a bundle of national patents for the designated states.

Legal Status of the Patent

Pending: Patent applications in a pre-grant/pre-final-rejection stage in the patent office.

Granted: Patents in a "post-decision" or "post-grant" stage in the patent office.

Abandoned (Lapsed): Patents or published applications that are not in force before the end of the normal term right because of applicant action or in-action. Normally this status refers to post-grant patents where the applicant has not paid the necessary renewal fees. However, "Lapsed" can include pre-grant published applications that are deemed likely abandoned because there has been no known activity in the office for a significant period of time. Typical office status for Lapsed could be "abandoned", "lapsed", "withdrawn", "surrendered", etc.

Expired: Granted patents that have expired due to normal life of the patent cycle.

Rejected (Revoked): Patents or published applications that are not in force before the end of the normal term right because of office action. Normally, this status refers to post-grant patents subject to opposition events. However, "Revoked" can include final rejection notices when we have that information from the office. Typical office status for "Revoked" could be "suspension", "interrupted", "cancelled", "revoked", "refused", etc.

International Patent Classification (IPC)

The technical content of patent documents is classified in accordance with the International Patent Classification (IPC). The publishing office assigns an IPC symbol valid at the time of publication of the patent application. The complete IPC can be found on the website of the World Intellectual Property Organization (WIPO - <http://www.wipo.int/ipcpub>).

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SAMPLE

METHODOLOGY

METHODOLOGY

PATENT SEARCH & ANALYSIS (1/2)



- The data were extracted from the **FamPat worldwide database** (Questel-ORBIT) which provides 90+ million patent documents from various patent offices.
- The search for patents was performed in **November 2016**, hence patents published after this date will not be available in this report.
- The patents were grouped by **patent family**. A patent family is a set of patents filed in multiple countries to protect a single invention by a common inventor(s). A first application is made in one country – the priority country – and is then extended to other countries.
- The **selection of the patents** has been done **automatically** by keyword-based searches (all details in next slides).

Number of patent families identified for GaN Technology:

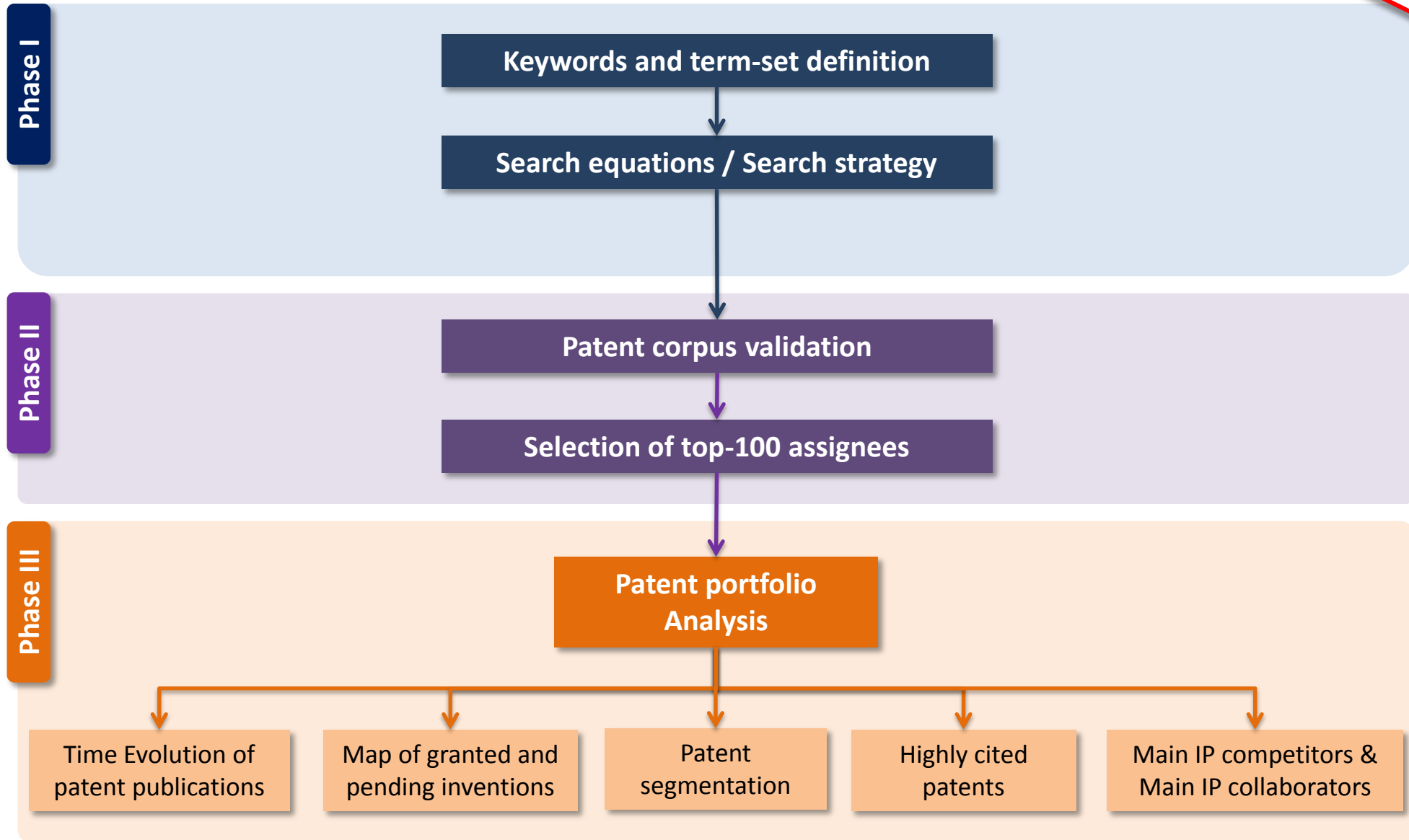
39 798 patent families

- The statistical analysis was performed with **Orbit IP Business Intelligence web based patent analysis software from Questel**.
- The patents were **categorized in technical segments** using keyword analysis of patent title, abstract and claims (all details in next slides).
- For legal status of European (EP) and PCT (WO) patent applications, EPO Register Plus has been used. For legal status of US patents, USPTO PAIR has been used. For legal status of other patents, information have been gotten from their respective national registers.

METHODOLOGY

PATENT SEARCH & ANALYSIS (2/2)

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METHODOLOGY

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Name of the patent assignee analyzed

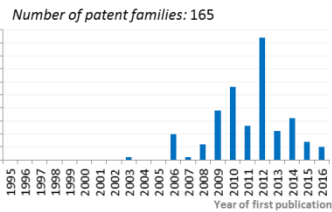
ADVANCED OPTOELECTRONIC TECHNOLOGY

IP profile for GaN technology

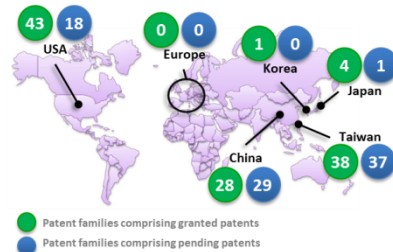
Logo of the patent assignee analyzed

AOT

Time Evolution of patent publications



Map of granted and pending inventions



Time evolution of patent publications

This graph shows the number of patent publications of the company between 1995 and 2016. The number of patent families related to GaN technologies is also indicated.

Mapping of patenting activity

For each country or geographical zone:

- Number of patent families comprising at least one **pending patent application** in the country.
- Number of patent families comprising at least one **granted patent** in the country.

Patent portfolio segmentation

APPLICATIONS MAINLY CLAIMED

LED	Laser	Power	RF	Crystal Growth
128	15	0	6	4

MATERIAL PROPERTIES

Non-Polar
0

HOST SUBSTRATE MAINLY CLAIMED

Sapphire (Al ₂ O ₃)	Silicon (Si)	Silicon carbide (SiC)
56	7	19

GROWTH TECHNIQUE MAINLY CLAIMED

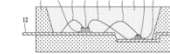
MOCVD	MBE	HVPE	Ammono thermal	LPE
18	6	6	0	0

Patent portfolio segmentation

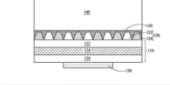
These tables show the number of patent families by applications, material properties, growth substrates and growth techniques. This segmentation is based on keywords identification in title, abstract and claims.

Highly cited patents

Package structure of light emitting diode for backlight
US7855390



Light emitting diode and fabrication thereof
US8278645



Highly cited patents

Selection of relevant patents with high number of citations

Main IP competitors

Selection of main companies citing the patent portfolio.

Main IP competitors

LG INNOTEK
TOYODA GOSEI
TOSHIBA

Main IP collaborators

ZHANJING TECHNOLOGY

Main IP collaborators

Selection of main collaborating companies based on the number of co-files, reassignments or licenses.



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Click here to return to the Table of Contents

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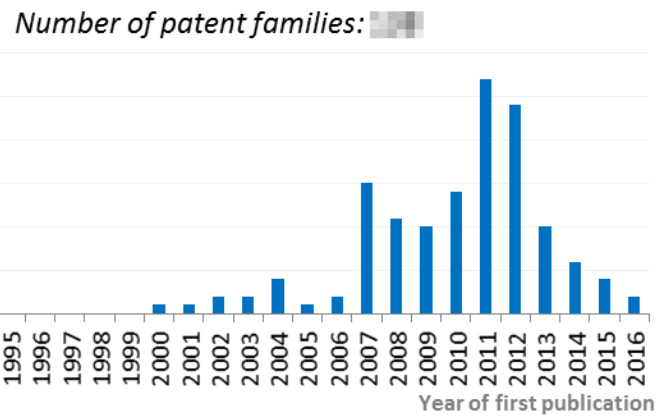
IP PROFILE ANALYSIS

REPORT SAMPLE

APPLIED MATERIALS

IP profile for GaN technology

Time Evolution of patent publications



Patent portfolio segmentation

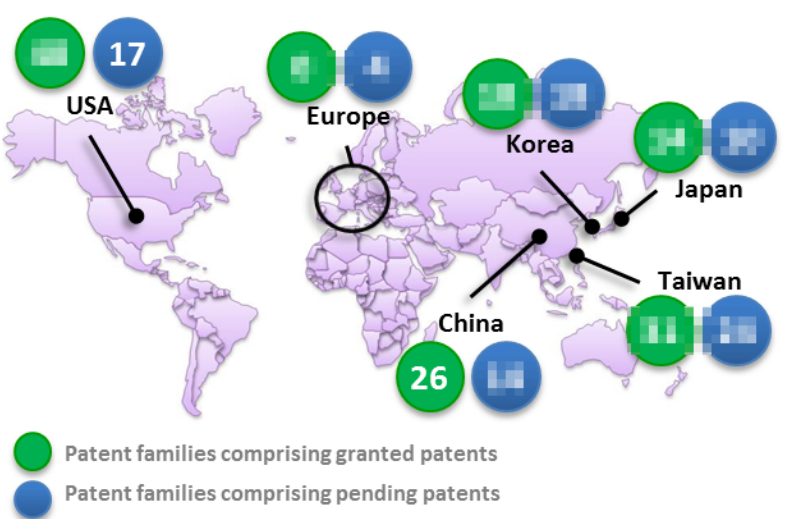
APPLICATIONS MAINLY CLAIMED				
LED	Laser	Power	RF	Crystal Growth
MATERIAL PROPERTIES				
Non-Polar				

Highly cited patents

Multi-gas straight
WO2009:

Thin film transistors
layers
WO2010:

Map of granted and pending inventions



HOST SUBSTRATES MAINLY CLAIMED

Sapphire (Al ₂ O ₃)	Silicon (Si)	Silicon carbide (SiC)
	12	

GROWTH TECHNIQUES MAINLY CLAIMED

MOCVD	MBE	HVPE	Ammono thermal	LPE

Main IP competitors

Main IP collaborators

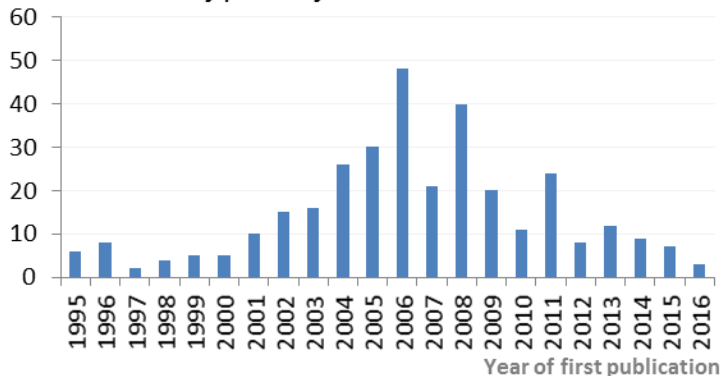




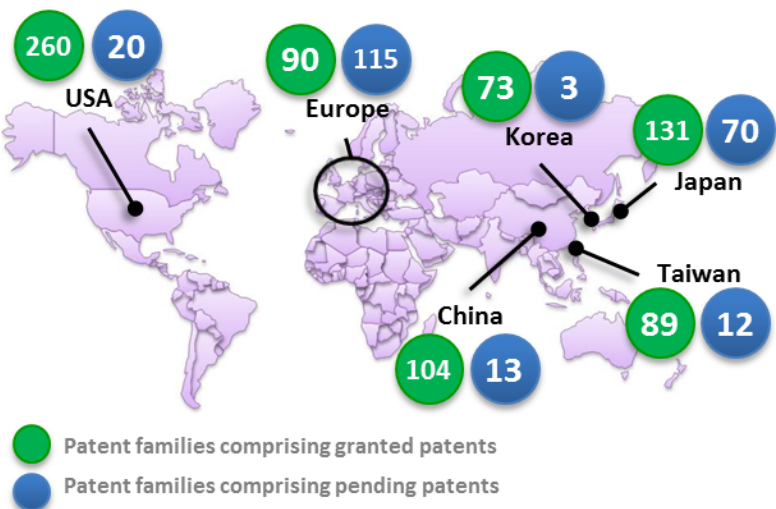
IP profile for GaN technology

Time Evolution of patent publications

Number of patent families: 332



Map of granted and pending inventions



Patent portfolio segmentation

APPLICATIONS MAINLY CLAIMED				
LED	Laser	Power	RF	Crystal Growth
131	47	16	11	55

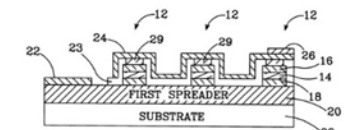
MATERIAL PROPERTIES
Non-Polar
1

HOST SUBSTRATES MAINLY CLAIMED		
Sapphire (Al ₂ O ₃)	Silicon (Si)	Silicon carbide (SiC)
33	1	142

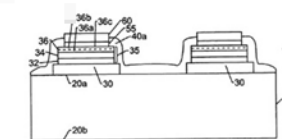
GROWTH TECHNIQUES MAINLY CLAIMED				
MOCVD	MBE	HVPE	Ammono thermal	LPE
53	11	18	0	2

Highly cited patents

Micro-led arrays



Light emitting diodes



Main IP competitors

TOSHIBA
PANASONIC
SAMSUNG

Main IP collaborators

ABB RESEARCH CENTER
ADVANCED TECHNOLOGY MATERIALS



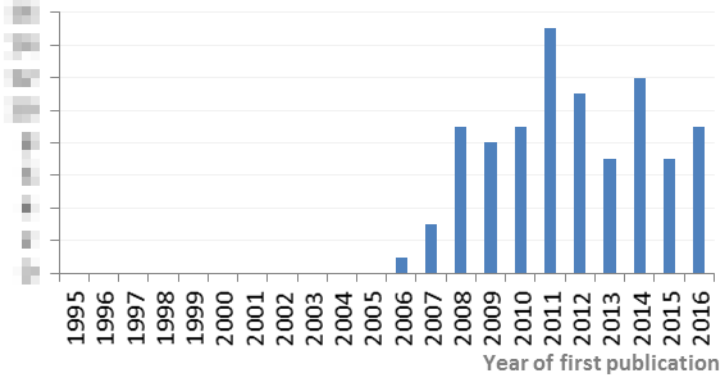


DOWA ELECTRONICS MATERIALS

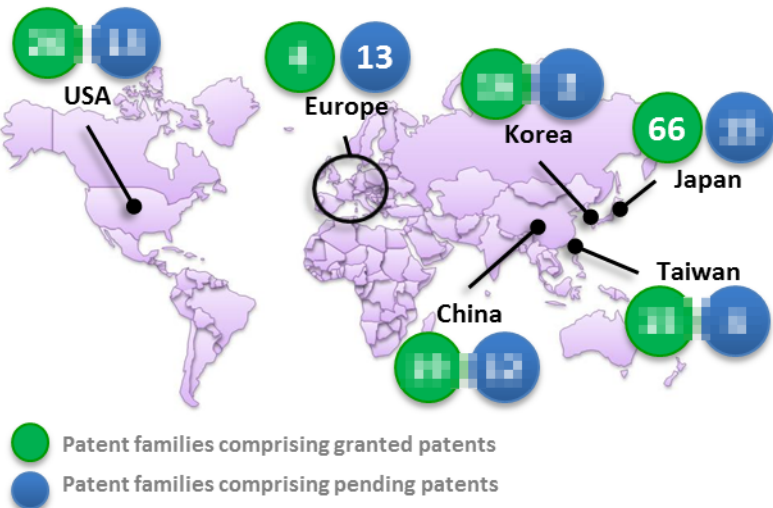
IP profile for GaN technology

Time Evolution of patent publications

Number of patent families:



Map of granted and pending inventions



Patent portfolio segmentation

APPLICATIONS MAINLY CLAIMED				
LED	Laser	Power	RF	Crystal Growth
■	14	■	■	■

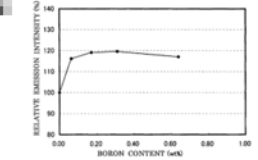
MATERIAL PROPERTIES
Non-Polar
■

HOST SUBSTRATES MAINLY CLAIMED		
Sapphire (Al ₂ O ₃)	Silicon (Si)	Silicon carbide (SiC)
■	■	5

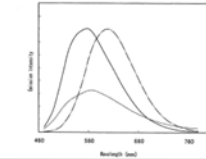
GROWTH TECHNIQUES MAINLY CLAIMED				
MOCVD	MBE	HVPE	Ammono thermal	LPE
■	■	■	■	■

Highly cited patents

Phosphor and manufacturing method for the same
 EP163



Fluorescent substance, process for producing the same, and light emitting device using said fluorescent substance
 EP193



Main IP competitors

TOYOBU
 NICHIA
 PANASONIC

Main IP collaborators

WAVESQUARE
 TOSHU TECNO ACOE



REPORT
SAMPLE

ORDER FORM

ORDER FORM

GaN Technology: Top-100 IP profiles

SHIP TO

Name (Mr/Ms/Dr/Pr):

Job Title:

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1. Scope

1.1 The Contracting Parties undertake to observe the following general conditions when agreed by the Buyer and the Seller. ANY ADDITIONAL, DIFFERENT, OR CONFLICTING TERMS AND CONDITIONS IN ANY OTHER DOCUMENTS ISSUED BY THE BUYER AT ANY TIME ARE HEREBY OBJECTED TO BY THE SELLER, SHALL BE WHOLLY INAPPLICABLE TO ANY SALE MADE HEREUNDER AND SHALL NOT BE BINDING IN ANY WAY ON THE SELLER.

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1.3 Orders are deemed to be accepted only upon written acceptance and confirmation by the Seller, within [7 days] from the date of order, to be sent either by email or to the Buyer’s address. In the absence of any confirmation in writing, orders shall be deemed to have been accepted.

2. Mailing of the Products

2.1 Products are sent by email to the Buyer:

- within [1] month from the order for Products already released; or
- within a reasonable time for Products ordered prior to their effective release. In this case, the Seller shall use its best endeavours to inform the Buyer of an indicative release date and the evolution of the work in progress.

2.2 Some weeks prior to the release date the Seller can propose a pre-release discount to the Buyer.

The Seller shall by no means be responsible for any delay in respect of article 2.2 above, and including in cases where a new event or access to new contradictory information would require for the analyst extra time to compute or compare the data in order to enable the Seller to deliver a high quality Products.

2.3 The mailing of the Product will occur only upon payment by the Buyer, in accordance with the conditions contained in article 3.

2.4 The mailing is operated through electronic means either by email via the sales department. If the Product’s electronic delivery format is defective, the Seller undertakes to replace it at no charge to the Buyer provided that it is informed of the defective formatting within 90 days from the date of the original download or receipt of the Product.

2.5 The person receiving the Products on behalf of the Buyer shall immediately verify the quality of the Products and their conformity to the order. Any claim for apparent defects or for non-conformity shall be sent in writing to the Seller within 8 days of receipt of the Products. For this purpose, the Buyer agrees to produce sufficient evidence of such defects.

2.6 No return of Products shall be accepted without prior information to the Seller, even in case of delayed delivery. Any Product returned to the Seller without providing prior information to the Seller as required under article 2.5 shall remain at the Buyer’s risk.

Terms and Conditions of Sales

3. Price, invoicing and payment

3.1 Prices are given in the orders corresponding to each Product sold on a unit basis or corresponding to annual subscriptions. They are expressed to be inclusive of all taxes. The prices may be reevaluated from time to time. The effective price is deemed to be the one applicable at the time of the order.

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Banque populaire St Laurent du Var CAP 3000 - Quartier du lac- 06700 St Laurent du Var

BIC or SWIFT code: CCBPFRPPNCE

IBAN : : FR76 1560 7000 6360 6214 5695 126

To ensure the payments, the Seller reserves the right to request down payments from the Buyer. In this case, the need of down payments will be mentioned on the order.

3.3 Payment is due by the Buyer to the Seller within 30 days from invoice date, except in the case of a particular written agreement. If the Buyer fails to pay within this time and fails to contact the Seller, the latter shall be entitled to invoice interest in arrears based on the annual rate Refi of the «BCE» + 7 points, in accordance with article L. 441-6 of the French Commercial Code. Our publications (report, database, tool...) are delivered only after reception of the payment.

3.4 In the event of termination of the contract, or of misconduct, during the contract, the Seller will have the right to invoice at the stage in progress, and to take legal action for damages.

4. Liabilities

4.1 The Buyer or any other individual or legal person acting on its behalf, being a business user buying the Products for its business activities, shall be solely responsible for choosing the Products and for the use and interpretations he makes of the documents it purchases, of the results he obtains, and of the advice and acts it deduces thereof.

4.2 The Seller shall only be liable for (i) direct and (ii) foreseeable pecuniary loss, caused by the Products or arising from a material breach of this agreement

4.3 In no event shall the Seller be liable for:

a) damages of any kind, including without limitation, incidental or consequential damages (including, but not limited to, damages for loss of profits, business interruption and loss of programs or information) arising out of the use of or inability to use the Seller's website or the Products, or any information provided on the website, or in the Products;

b) any claim attributable to errors, omissions or other inaccuracies in the Product or interpretations thereof.

4.4 All the information contained in the Products has been obtained from sources believed to be reliable. The Seller does not warrant the accuracy, completeness adequacy or reliability of such information, which cannot be guaranteed to be free from errors.

4.5 All the Products that the Seller sells may, upon prior notice to the Buyer from time to time be modified by or substituted with similar Products meeting the needs of the Buyer. This modification shall not lead to the liability of the Seller, provided that the Seller ensures the substituted Product is similar to the Product initially ordered.

4.6 In the case where, after inspection, it is acknowledged that the Products contain defects, the Seller undertakes to replace the defective products as far as the supplies allow and without indemnities or compensation of any kind for labor costs, delays, loss caused or any other reason. The replacement is guaranteed for a maximum of two months starting from the delivery date. Any replacement is excluded for any event as set out in article 5 below.

4.7 The deadlines that the Seller is asked to state for the mailing of the Products are given for information only and are not guaranteed. If such deadlines are not met, it shall not lead to any damages or cancellation of the orders, except for non-acceptable delays exceeding [4] months from the stated deadline, without information from the Seller. In such case only, the Buyer shall be entitled to ask for a reimbursement of its first down payment to the exclusion of any further damages.

4.8 The Seller does not make any warranties, express or implied, including, without limitation, those of saleability and fitness for a particular purpose, with respect to the Products. Although the Seller shall take reasonable steps to screen Products for infection of viruses, worms, Trojan horses or other codes containing contaminating or destructive properties before making the Products available, the Seller cannot guarantee that any Product will be free from infection.

5. Force majeure

The Seller shall not be liable for any delay in performance directly or indirectly caused by or resulting from acts of nature, fire, flood, accident, riot, war, government intervention, embargoes, strikes, labor difficulties, equipment failure, late deliveries by suppliers or other difficulties which are beyond the control, and not the fault of the Seller.

Terms and Conditions of Sales

6. Protection of the Seller's IPR

6.1 All the IPR attached to the Products are and remain the property of the Seller and are protected under French and international copyright law and conventions.

6.2 The Buyer agreed not to disclose, copy, reproduce, redistribute, resell or publish the Product, or any part of it to any other party other than employees of its company. The Buyer shall have the right to use the Products solely for its own internal information purposes. In particular, the Buyer shall therefore not use the Product for purposes such as:

- Information storage and retrieval systems;
- Recordings and re-transmittals over any network (including any local area network);
- use in any timesharing, service bureau, bulletin board or similar arrangement or public display;
- Posting any Product to any other online service (including bulletin boards or the Internet);
- Licensing, leasing, selling, offering for sale or assigning the Product.

6.3 The Buyer shall be solely responsible towards the Seller of all infringements of this obligation, whether this infringement comes from its employees or any person to whom the Buyer has sent the Products and shall personally take care of any related proceedings, and the Buyer shall bear related financial consequences in their entirety.

6.4 The Buyer shall define within its company point of contact for the needs of the contract. This person will be the recipient of each new report in PDF format. This person shall also be responsible for respect of the copyrights and will guaranty that the Products are not disseminated out of the company.

7. Termination

7.1 If the Buyer cancels the order in whole or in part or postpones the date of mailing, the Buyer shall indemnify the Seller for the entire costs that have been incurred as at the date of notification by the Buyer of such delay or cancellation. This may also apply for any other direct or indirect consequential loss that may be borne by the Seller, following this decision.

7.2 In the event of breach by one Party under these conditions or the order, the non-breaching Party may send a notification to the other by recorded delivery letter upon which, after a period of thirty (30) days without solving the problem, the non-breaching Party shall be entitled to terminate all the pending orders, without being liable for any compensation.

8. Miscellaneous

All the provisions of these Terms and Conditions are for the benefit of the Seller itself, but also for its licensors, employees and agents. Each of them is entitled to assert and enforce those provisions against the Buyer.

Any notices under these Terms and Conditions shall be given in writing. They shall be effective upon receipt by the other Party.

The Seller may, from time to time, update these Terms and Conditions and the Buyer, is deemed to have accepted the latest version of these terms and conditions, provided they have been communicated to him in due time.

9. Governing law and jurisdiction

9.1 Any dispute arising out or linked to these Terms and Conditions or to any contract (orders) entered into in application of these Terms and Conditions shall be settled by the French Commercial Courts of Grasse, which shall have exclusive jurisdiction upon such issues.

9.2 French law shall govern the relation between the Buyer and the Seller, in accordance with these Terms and Conditions.



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