

UNITED STATES PATENT AND TRADEMARK OFFICE

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BEFORE THE PATENT TRIAL AND APPEAL BOARD

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SAMSUNG ELECTRONICS CO., LTD.;  
MICRON TECHNOLOGY, INC.; and  
SK HYNIX INC.  
Petitioner

v.

ELM 3DS INNOVATIONS, LLC  
Patent Owner

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Case No. IPR2016-00387  
U.S. Patent No. 8,841,778

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**PETITIONER'S AMENDED EXHIBIT LIST**

**AMENDED LIST OF EXHIBITS<sup>1</sup>**

- Ex. 1001: U.S. Patent No. 8,841,778
- Ex. 1002: Declaration of Dr. Paul D. Franzon
- Ex. 1003: Curriculum Vitae of Dr. Paul D. Franzon
- Ex. 1004: U.S. Patent No. 5,202,754 to Bertin et al., issued April 13, 1993
- Ex. 1005: U.S. Patent No. 5,162,251 to Poole et al., issued November 10, 1992
- Ex. 1006: U.S. Patent No. 5,354,695 to Leedy, issued October 11, 1994
- Ex. 1007: Japanese Patent Publication No. 3-151637 to Kowa including Japanese-language version, English-language translation, and translation certification
- Ex. 1008: U.S. Patent No. 5,627,106 to Hsu, issued May 6, 1997
- Ex. 1009: RESERVED
- Ex. 1010: RESERVED
- Ex. 1011: RESERVED
- Ex. 1012: RESERVED
- Ex. 1013: RESERVED
- Ex. 1014: RESERVED
- Ex. 1015: RESERVED
- Ex. 1016: RESERVED

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<sup>1</sup> Citations to non-patent publications are to the original page numbers of the publication, and citations to U.S. patents are to column:line number of the patents.

- Ex. 1017: Prosecution History for U.S. Patent No. 8,841,778
- Ex. 1018: Prosecution History of U.S. Patent No. 8,907,499 - Office Action dated May 29, 2013
- Ex. 1019: Prosecution History of U.S. Patent No. 8,907,499 - Response to Office Action dated June 20, 2013
- Ex. 1020: Prosecution History of U.S. Patent No. 8,907,499 - As-Filed Patent Application
- Ex. 1021: Prosecution History of U.S. Patent App. No. 12/497,652 - Response to Office Action dated September 26, 2013
- Ex. 1022: Prosecution History of U.S. Patent App. No. 12/497,653 - Response to Office Action dated October 24, 2013
- Ex. 1023: Prosecution History of U.S. Patent App. No. 12/497,652 - Response to Office Action dated 4/5/13
- Ex. 1024: Prosecution History of U.S. Patent No. 5,915,167 - Response to Office Action dated April 28, 1998
- Ex. 1025: Prosecution History of U.S. Patent No. 5,915,167 - Response to Office Action dated September 8, 1998
- Ex. 1026: Prosecution History of U.S. Patent No. 8,629,542 - Response to Office Action dated July 30, 2012
- Ex. 1027: RESERVED
- Ex. 1028: Prosecution History of U.S. Patent No. 7,705,466 - Response to Office Action dated February 16, 2009
- Ex. 1029: Prosecution History of U.S. Patent No. 7,705,466 - Response to Office Action dated June 25, 2009
- Ex. 1030: Prosecution History of U.S. Patent No. 8,928,119 - Response to Office Action dated September 4, 2012
- Ex. 1031: Prosecution History of U.S. Patent No. 8,928,119 - Appeal Brief

dated June 3, 2013

- Ex. 1032: Prosecution History of U.S. Patent No. 8,410,617 - Response to Office Action dated December 14, 2010
- Ex. 1033: Prosecution History of U.S. Patent Application No. 12/497,652 - Final Office Action dated August 27, 2014
- Ex. 1034: Prosecution History of U.S. Patent Application No. 12/497,652 - Express Abandonment dated November 20, 2014
- Ex. 1035: Prosecution History of U.S. Patent Application No. 12/497,653 - Advisory Action dated August 27, 2014
- Ex. 1036: Prosecution History of U.S. Patent Application No. 12/497,653 - Express Abandonment dated November 20, 2014
- Ex. 1037: RESERVED
- Ex. 1038: RESERVED
- Ex. 1039: Concept One CVD System Process Specifications from Novellus
- Ex. 1040: Wolf et al., *Processing for the VLSI Era, Volume 1 - Process Technology* (1986).
- Ex. 1041: U.S. Patent No. 3,508,980 to Jackson et al., issued April 28, 1970
- Ex. 1042: U.S. Patent No. 3,044,909 to Shockley, issued July 17, 1962
- Ex. 1043: Fahey et al., *Stress-induced dislocations in silicon integrated circuits*, IBM J. Res. Develop. Vol. 36, No. 2, March 1992
- Ex. 1044: Hass et al., *Physics of Thin Films: Advances in Research and Development* (1966)
- Ex. 1045: EerNisse, E.P., *Stress in thermal SiO<sub>2</sub> during growth*, Appl. Phys. Lett. 35(1), July 1, 1979
- Ex. 1046: Kloholm, Erik, *Delamination and fracture of thin films*, IBM J. Res. Develop., Vol. 31, No. 5, September 1987

- Ex. 1047: U.S. Patent No. 4,948,482 to Kobayashi et al., issued August 14, 1990
- Ex. 1048: Isobe et al., *Dielectric Film Influence on Stress-Migration*, June 12-13 IEEE VMIC Conference (1990)
- Ex. 1049: Van de Ven, et al., *Advantages of Dual Frequency PECVD for Deposition of ILD and Passivation Films*, June 12-13 IEEE VMIC Conference (1990)
- Ex. 1050: U.S. Patent No. 5,160,998 to Itoh et al., issued November 3, 1992
- Ex. 1051: Garrou, Philip, *Polymer Dielectrics for Multichip Module Packaging*, Proceedings of the IEEE, Vol. 80, No. 12, December 12, 1992
- Ex. 1052: Grief et al., *Warpage and Mechanical Strength Studies of Ultra Thin 150MM Wafers*, IEEE/CPMT Int'l Electronics Manufacturing Technology Symposium (1996)
- Ex. 1053: Tatsuno, Sheridan, *Japan's Push into Creative Semiconductor Research: 3-Dimensional ICs*, Solid State Technology, March 1987
- Ex. 1054: Akasaka, Yoichi, *Three-Dimensional IC Trends*, Proceedings of the IEEE, Vol. 74, No. 12, December 1986
- Ex. 1055: Hayashi, Yoshihiro, *Evaluation of Cubic (Cumulatively Bonded IC) Devices*, 9th Symposium on Future Electron Devices, November 14-15, 1990
- Ex. 1056: Williams et al., *Future WSI Technology: Stacked Monolithic WSI*, IEEE Transactions on Components, Hybrids, and Manufacturing Technology, Vol. 16, No. 7, November 1993
- Ex. 1057: Crowley et al., *3-D Multichip Packaging for Memory Modules*, MCM '94 Proceedings, 1994
- Ex. 1058: Malinak, David, *Memory-Chip Stacks Send Density Skyward*, Electronic Design, August 22, 1994
- Ex. 1059: Kuhn et al., *Interconnect Capacitances, Crosstalk, and Signal Delay in Vertically Integrated Circuits*, IEEE 1995

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