UNITED STATES PATENT AND TRADEMARK OFFICE

BEFORE THE PATENT TRIAL AND APPEAL BOARD

THERMALTAKE TECHNOLOGY CO., LTD. and

THERMALTAKE INC.,

Petitioner,

v.

CHEN, CHIEN-HAO,

Patent Owner.

IPR2024-01230

U.S. Patent No. 10,690,336 B1

PATENT OWNER'S CONTINGENT MOTION TO AMEND PURSUANT TO 37 C.F.R. § 42.121

Table of Contents

I. Introduction

Pursuant to the Board's Scheduling Order (Paper 13) and its email of May 6, 2025, Patent Owner hereby files this Contingent Motion to Amend (the "Motion"), wherein, in the event the Board finds original claims 2 and/or 3 of U.S. Patent No. 10,690,336 (the "'336 patent") (Ex-1001) to be unpatentable, Patent Owner requests the Board to replace original claim 2 with new claim 6 and/or to replace original claim 3 with new claim 7, as explained below.

As shown in detail below, the proposed substitute claims include various features disclosed in the specification in relation to at least Figures 1-3. As also shown in detail below, the claimed features of the substitute claims are disclosed in the '336 patent (Ex-1001) and its earliest priority document, *i.e.*, Taiwanese Patent Application No. 107217659 U (the "TW'659 application") (Ex-2017). Further, the substitute claims are patentable over the prior art known to Patent Owner.[1]

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[1] As noted in Patent Owner's Mandatory Notices, a concurrent *ex parte* reexamination proceeding has been filed as Serial No. 90/019,565. The PTAB stayed that reexamination on March 12, 2025 (Paper 14). In accordance with Rule 1.56, a copy of the file history for the reexamination is included as Exhibit 2007, and a listing of potentially material art known to Patent Owner from the District Court litigation has been attached to this Motion in Appendix B.

II. Statement of Relief Requested

Patent Owner hereby moves to amend the '336 patent contingent upon whether original claims 2 and/or 3 are found unpatentable in the present IPR proceeding. 37 C.F.R. § 42.121. Specifically, if original claim 2 is found to be unpatentable, Patent Owner requests the Board order the replacement of claim 2 with claim 6. Further, if original claim 3 is found to be unpatentable, Patent Owner requests the replacement of claim 3 with claim 7. No other changes are proposed. 37 C.F.R. § 42.22(a)(1); 35 U.S.C. § 316(d).

III. Patent Owner's Request for Preliminary Guidance

Patent Owner respectfully requests that the Board issue preliminary guidance on this Motion after Petitioner files its opposition (or after the due date for the opposition, if none is filed by Petitioner). (Scheduling Order at 8-9.)

IV. The Motion and Proposed Amendments Comply With § 42.121

The Motion meets the requirements of § 41.121. The Motion is timely filed, being filed with Patent Owner's Response to the Institution Decision ("Decision"). 37 C.F.R. § 42.121(a)(1).

The Motion's proposed amendments are also responsive to the grounds of unpatentability. 37 C.F.R. § 42.121(a)(2)(i). The Decision instituted trial against, *inter alia*, claims 2-3 of the '336 patent. The amendments proposed for claims 2-3

presented herein add limitations not found in the prior art relied on by Petitioner in the applicable Grounds of the Petition.

The amendments also do not enlarge the scope of the claims and do not introduce new subject matter. 37 C.F.R. § 42 .121(a)(2)(ii). Specifically, replacement claim 6 includes all the limitations of claim 1 plus additional limitations supported by the specification of the '336 patent and its priority application. Likewise, replacement claim 7 includes all the limitations of claim 1 plus additional limitations beyond those included in replacement claim 6 relating to flat surfaces of the first and second connectors, all of which are supported by the specification of the '336 patent and its priority application.

The Petition asserted claims 2-3 are unpatentable based on prior art involving Tsuji, Huang, Lai, and Hasegawa. (Petition at 5-6.) If original claim 2 is found to be unpatentable, Patent Owner requests the Board order the replacement of claim 2 with claim 6, as shown herein. Further, if original claim 3 is found to be unpatentable, Patent Owner requests the replacement of claim 3 with claim 7, as shown herein. None of the Tsuji, Huang, Lai and Hasegawa references relied on by Petitioner, alone or in any combination, disclose the limitations of the replacement claims.

A reasonable number of substitute claims are also presented. 37 C.F.R. § 42.121(a)(3). Specifically, Patent Owner's proposed amendments seek

a one-to-one correspondence between proposed substitute claims 6-7 and potentially canceled claims 2-3.

The Motion includes a claim listing (Appendix A) and identifies support in the original disclosure of the earliest priority application (the TW'659 application), the application for the '336 patent, and the '336 patent itself for the proposed amendments. 37 C.F.R. § 42.121(b)(1) and (b)(2). Accordingly, Patent Owner has satisfied all requirements of 37 C.F.R. § 42.121.

V. Claim Listing

Patent Owner's claim listing is attached hereto as Appendix A. 37 C.F.R. § 42.121(b). Currently, the '336 patent contains 5 claims. Trial was instituted on claims 1-5. A clean listing of the proposed substitute claims is provided, as well as a redlined version showing the differences between the proposed substitute claims and the original claims.

VI. The Originally Filed Application Provides Written Description Support for Each Proposed Amended Claim

As noted previously, the '336 patent corresponds to patent application no. 16/403,867 ("the '867 application"). The as-filed version of the '867 application is shown at pages 51-63 of Ex-1002. The '867 application claims priority to a Taiwanese application (TW'659), filed December 26, 2018. The TW'659 application includes the same Figures 1-3 and substantially the same corresponding

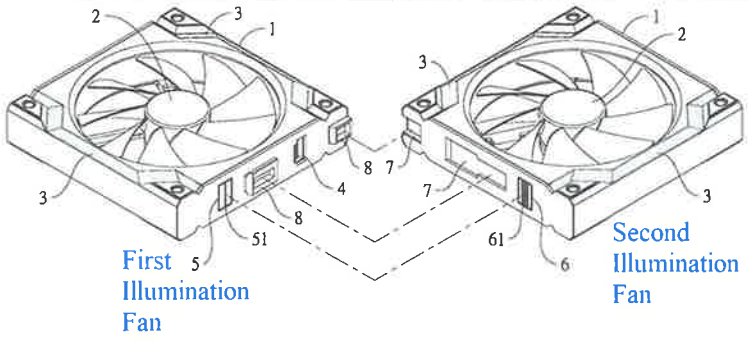
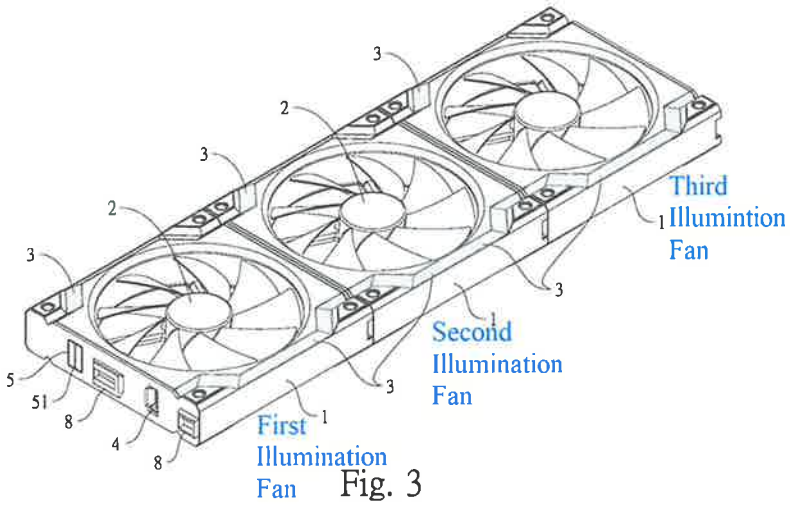
text as the '867 application. (*Compare* Ex-2017, pp. 16-27 with Ex-1002, pp. 51-61.)

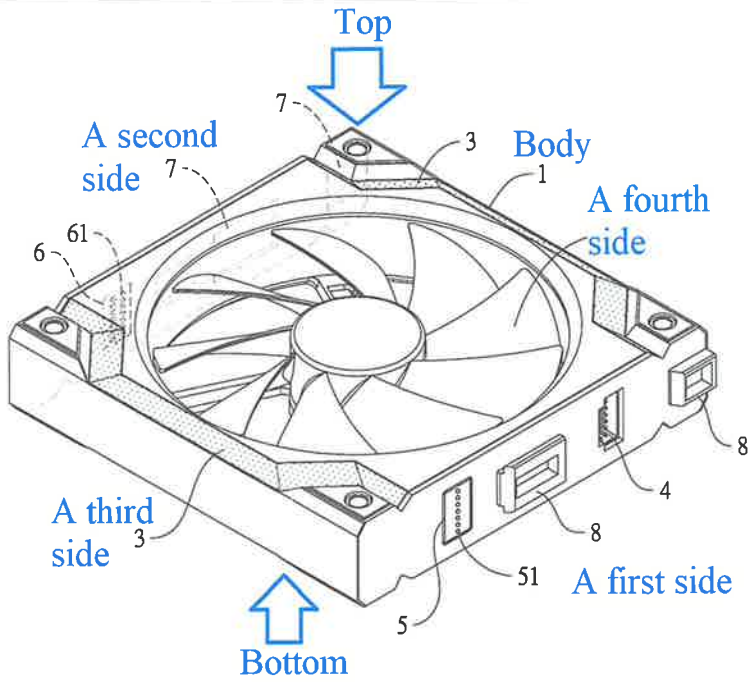
Patent Owner is only relying on disclosures contained in the '867 application and the TW'659 application. Specifically, Patent Owner is relying on embodiments primarily associated with Figures 1-3. Such embodiments and disclosures are contained in the '867 application and the TW'659 application, which provide written description support for the proposed substitute claims. Accordingly, there is adequate written description support for the proposed amended claims. 37 C.F.R. § 42.121(b).

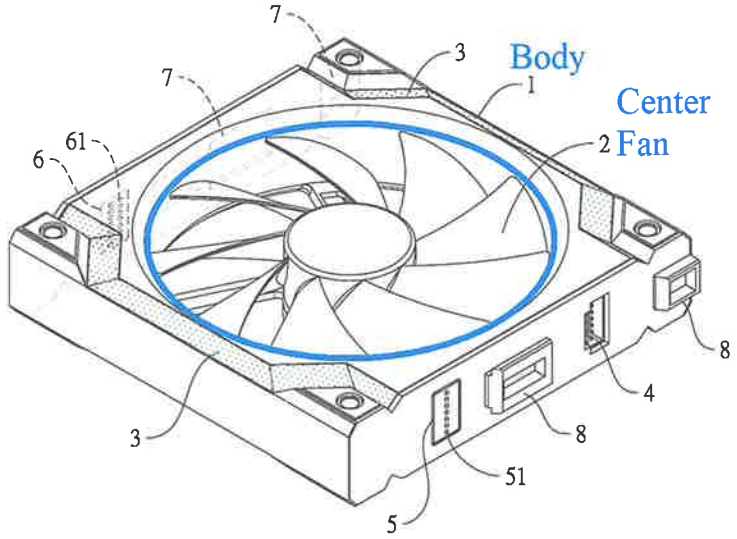
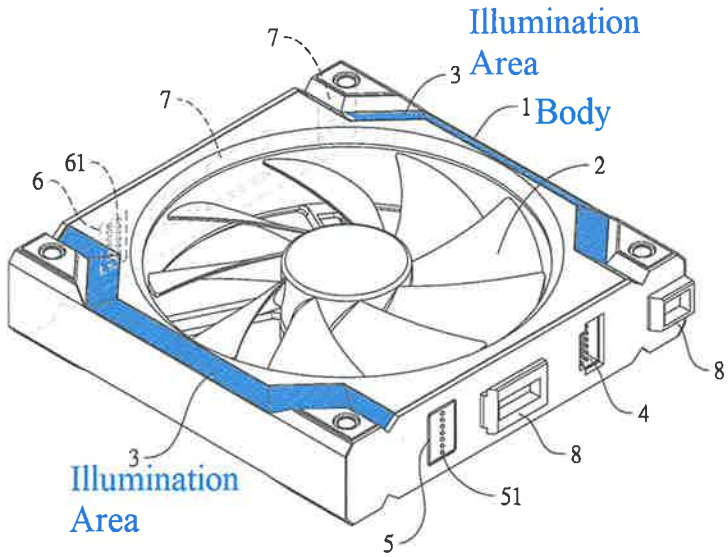
A. Claim 6

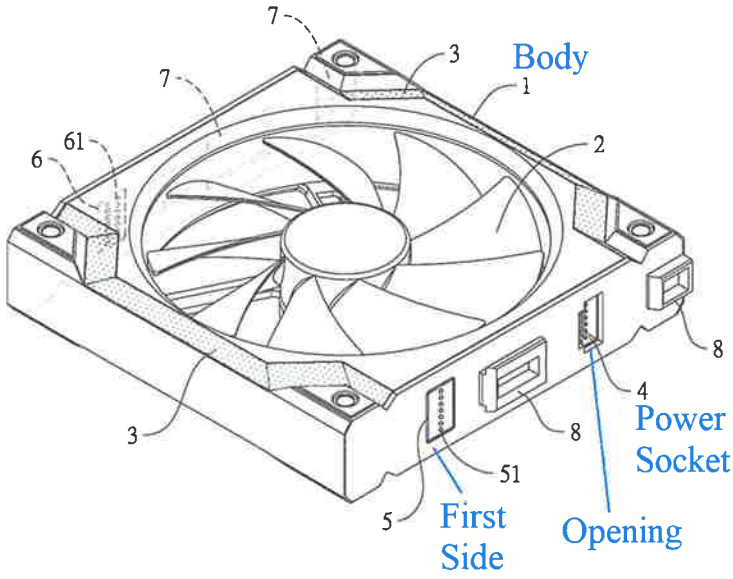
Claim 6 includes all the limitations of claim 1, plus additional limitations supported by Figures 1-3 and the corresponding text of the '336 patent and its priority application.

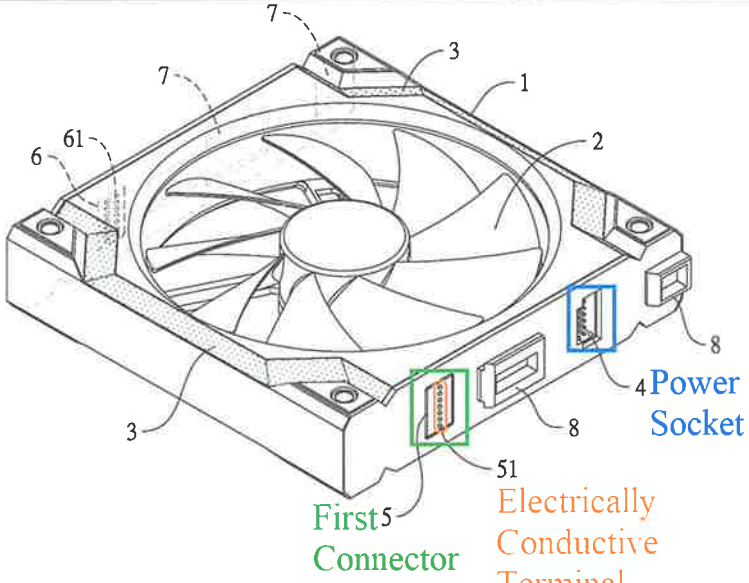
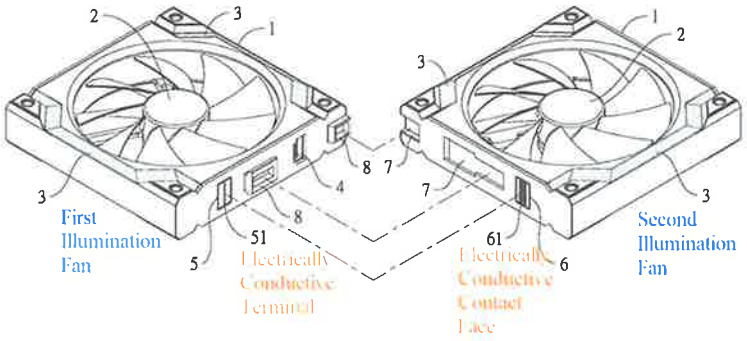
Claim / Limitation	Written Description Support
6. An system comprising a first illumination fan for a computer connectable with a second ~~at least one~~ illumination fan for a computer, wherein:	FIGS. 2-3 show a system of illumination fans for a computer comprising at least a first illumination fan and a second illumination fan.

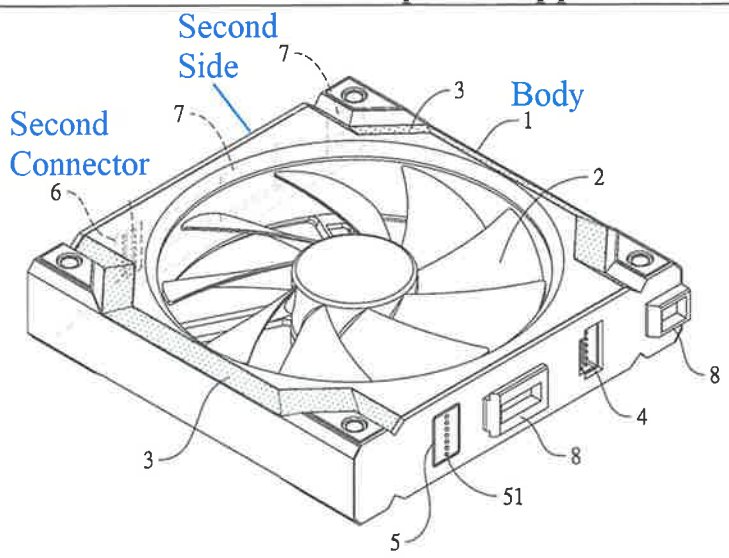
Claim / Limitation	Written Description Support
	 Fig. 2  Fig. 3 (*See* Ex-1001 at FIGS. 1-3, 1:50-52, 2:38-46, 2:57-60, 3:7-8; Ex-1002 at FIGS. 1-3 (pp. 59-61), pp. 55-57; Ex-2017 at pp. 24-27 (FIGS. 1-3) and pp. 19-22 (text corresponding that of Ex-1002).)
(A) the first illumination fan comprisinges: (i) a body comprising a top, a bottom, and sides, wherein the sides include at least a first side and a second side;	FIG. 1 shows a first illumination fan comprising a body (1) having a top, a bottom, and adjacent sides, with the sides including a first side and a second side. (*Note*: the use of "first side" and "second side" does not require any particular ordering of sides – the usage below is for illustrative purposes only.)

Claim / Limitation	Written Description Support
	 Fig. 1 (*See* Ex-1001 at FIG. 1, 2:38-40, 2:61-67; Ex-1002 at FIG. 1 (pp. 59), pp. 56-57; Ex-2017 at FIG. 1 (pp. 25), pp. 21-22.)
(ii)~~,~~ ~~provided with~~ a center fan located in a center of the body;~~;~~	FIG. 1 shows a first illumination fan comprising a center fan (2) located in the center of the body (1).

Claim / Limitation	Written Description Support
	 Fig. 1 (*See* Ex-1001 at FIG. 1, 2:68-3:3; Ex-1002 at FIG. 1 (pp. 59), pp. 57; Ex-2017 at FIG. 1 (pp. 25.), pp. 21-22.)
(iii) an illumination area located at the top of the body and disposed on at least two sides of the center fan ~~at top of the body;~~;	FIG. 1 shows a first illumination fan comprising an illumination area (3) located at the top of the body (1) and disposed on at least two sides of the center fan (2).  Fig. 1

Claim / Limitation	Written Description Support
	(*See* Ex-1001 at FIG. 1, 2:64-65; Ex-1002 at FIG. 1 (pp. 59), pp. 57; Ex-2017 at FIG. 1 (pp. 25.), pp. 21-22.)
(iv) a power socket comprising an opening disposed on the first side of the body; ~~and~~	FIG. 1 shows a first illumination fan comprising a power socket (4) comprising an opening disposed on a first side of the body (1).  Fig. 1 (*See* Ex-1001 at FIG. 1, 2:64-65; Ex-1002 at FIG. 1 (pp. 59), pp. 57; Ex-2017 at FIG. 1 (pp. 25.), pp. 21-22.)
(v) a first connector disposed on the first ~~one~~ side of the body, wherein the first connector is structurally distinct and separable from the power socket, and wherein the first connector comprises a first electrical terminal configured to electrically connect with a second electrical terminal of the	FIG. 1 shows a first illumination fan comprising a first connector (5) disposed on the first side of the body (1), wherein the first connector (5) is structurally distinct and separable from the power socket (4), and wherein the first connector (1) comprises a first electrical terminal (51).

Claim / Limitation	Written Description Support
second illumination fan;~~,~~ and	 Fig. 1 FIG. 2 shows that the first electrical terminal (51) is configured to electrically connect with a second electrical terminal (61) of the second illumination fan.  Fig. 2 (*See* Ex-1001 at FIGS. 1-2, 2:64-65; Ex-1002 at FIGS. 1-2 (pp. 59-60), pp. 57; Ex-2017 at FIGS. 1-2 (pp. 25-26), pp. 21-22.)
(vi) a second connector disposed on the second ~~another~~ side of the body;~~,~~	FIG. 1 shows a first illumination fan comprising a second connector (6) disposed on a second side of the body (1).

Claim / Limitation	Written Description Support
	 Fig. 1 (*See* Ex-1001 at FIG. 1, 2:64-65; Ex-1002 at FIG. 1 (pp. 59), pp. 57; Ex-2017 at FIG. 1 (pp. 25.), pp. 21-22.)
(B) ~~wherein~~ the power socket is electrically connected with the first connector, the second connector, the center fan and the illumination area, such that when the power socket on the ~~one~~ first side of the body is supplied with power, the center fan and the illumination area of the body of the first illumination fan are respectively driven into rotation and illumination~~,~~; and	The text of the specification describes the limitations of (B), as shown below. • "In order to achieve the above and other objects, the present invention provides an illumination fan connectable with at least one illumination fan for a computer, which may include a body, provided with a fan in a center of the body, an illumination area on at least two sides of the fan at top of the body, a power socket and a first connector on one side of the body, and a second connector on another side of the body, *wherein the power socket is electrically connected with the first connector, the second connector, the fan and the illumination area, such that when the power socket on the one side of the body is supplied with power, the fan and the illumination area of the body can be respectively driven into rotation and illumination....*"

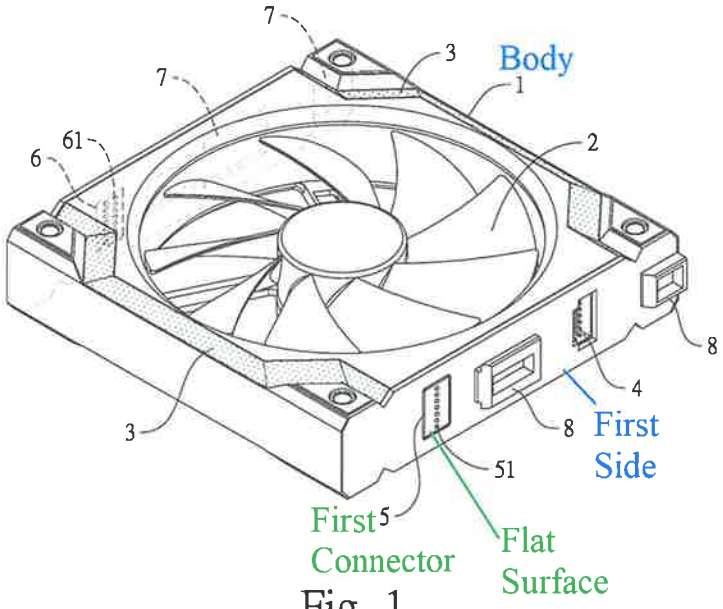
Claim / Limitation	Written Description Support
	(See Ex-1001 at 1:53-2:2; Ex-1002 at pp. 55; Ex-2017 at pp. 20.)
(C) when the first connector of the body is connected with a second connector of a body of ~~another~~ the second illumination fan, a center fan and an illumination area of the body of ~~another~~ the second illumination fan are respectively driven into rotation and illumination.	The text of the specification describes the limitations of (C), as shown below. • "In order to achieve the above and other objects, the present invention provides an illumination fan connectable with at least one illumination fan for a computer, which may include a body, provided with a fan in a center of the body, an illumination area on at least two sides of the fan at top of the body, a power socket and a first connector on one side of the body, and a second connector on another side of the body, wherein the power socket is electrically connected with the first connector, the second connector, the fan and the illumination area, such that when the power socket on the one side of the body is supplied with power, the fan and the illumination area of the body can be respectively driven into rotation and illumination, and *when the first connector of the body is connected with a second connector of a body of another illumination fan, a fan and an illumination area of the body of another illumination fan can be respectively driven into rotation and illumination*." (Ex-1001 at 1:53-2:2; Ex-1002 at pp. 55; Ex-2017 at pp. 20.)

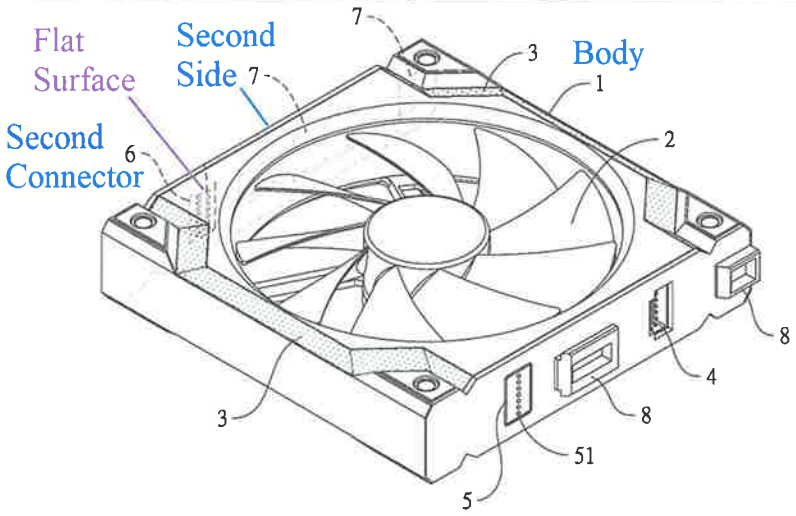
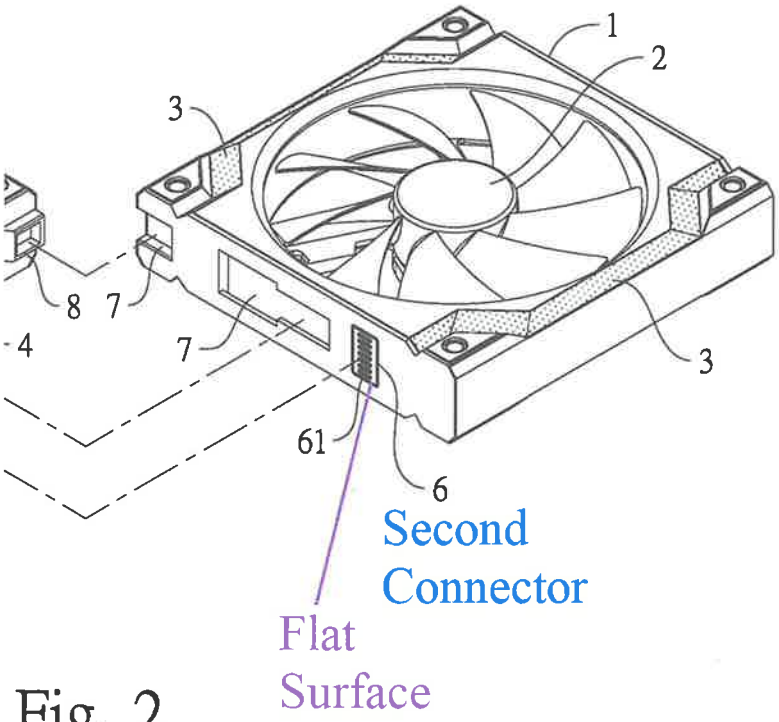
B. Claim 7

Claim 7 includes all the limitations of claim 1, plus additional limitations supported by Figures 1-3 and the corresponding text of the '336 patent and its

priority applications. Specifically, claim 7 includes all the limitations of claim 6 plus additional limitations relating to a flat surface of the first and second connectors.

Claim / Limitation	Written Description Support
7. A~~n~~ system comprising a first illumination fan for a computer connectable with a second ~~at least one~~ illumination fan for a computer, wherein:	This limitation is identical to claim 6, and thus has written description support for the same reasons provide above relative to claim 6.
(A) the first illumination fan comprisi~~nge~~s: (i) a body comprising a top, a bottom, and sides, wherein the sides include at least a first side and a second side;	This limitation is identical to claim 6, and thus has written description support for the same reasons provide above relative to claim 6.
(ii), ~~provided with~~ a center fan located in a center of the body;~~,~~	This limitation is identical to claim 6, and thus has written description support for the same reasons provide above relative to claim 6.
(iii) an illumination area located at the top of the body and disposed on at least two sides of the fan ~~at top of the body;,~~	This limitation is identical to claim 6, and thus has written description support for the same reasons provide above relative to claim 6.
(iv) a power socket comprising an opening disposed on the first side of the body; ~~and~~	This limitation is identical to claim 6, and thus has written description support for the same reasons provide above relative to claim 6.
(v) a first connector comprising a first flat surface disposed on the first ~~one~~ side of the body, wherein the first connector is structurally distinct and separable from the power socket, and wherein the first	This limitation is identical to claim 6, except it further requires the first connector to have "a first flat surface." FIG. 1 illustrate a first connector (5) with a first flat surface disposed on the first side of the body (1).

Claim / Limitation	Written Description Support
connector comprises a first electrical terminal configured to electrically connect with a second electrical terminal of the second illumination fan;~~,~~ and	 Fig. 1 (*See* Ex-1001 at FIG. 1, 2:61-3:16 Ex-1002 at FIG. 1 (pp. 59), pp. 57; Ex-2017 at FIG. 1 (pp. 25), pp. 21-22.) The remainder of this limitation is the same as that of claim 6 and thus has written description support for the same reasons provide above relative to claim 6.
(vi) a second connector comprising a second flat surface disposed on the second ~~another~~ side of the body;~~,~~	This limitation is identical to claim 6, except it further requires the second connector to have "a second flat surface." FIG. 1 illustrates a second connector (6) with a second flat surface disposed on the second side of the body (1).

Claim / Limitation	Written Description Support
	 Fig. 1 FIG. 2 also shows the arrangement of a second connector (6) of an illumination fan having a flat surface.  Fig. 2

Claim / Limitation	Written Description Support
	(*See* Ex-1001 at FIGS. 1-2, 2:61-3:16, Ex-1002 at FIGS. 1-2 (pp. 59-60), pp. 57; Ex-2017 at FIGS. 1-2 (pp. 25-26), pp. 21-22.)
(B) ~~wherein~~ the power socket is electrically connected with the first connector, the second connector, the center fan and the illumination area, such that when the power socket on the ~~one~~ first side of the body is supplied with power, the center fan and the illumination area of the body of the first illumination fan are respectively driven into rotation and illumination~~,~~; and	This limitation is identical to claim 6, and thus has written description support for the same reasons provide above relative to claim 6.
(C) when the first connector of the body is connected with a second connector of a body of ~~another~~ the second illumination fan, a center fan and an illumination area of the body of ~~another~~ the second illumination fan are respectively driven into rotation and illumination.	This limitation is identical to claim 6, and thus has written description support for the same reasons provide above relative to claim 6.

VII. The Substitute Claims Are Patentable

When a Patent Owner files a Motion to Amend in an IPR, the burden to establish unpatentability lies only with Petitioner. *Aqua Products Inc. v. Matal*, 872 F.3d 1290, 1307 (Fed. Cir. 2017) ("Congress's choice reflects its intention that the burden of proof be placed on the petitioner for all propositions of unpatentability arising during IPRs, whether related to originally challenged or entered amended claims."). Patent Owner need only meet the requirements of 35 U.S.C. § 316(d) and 37 C.F.R. § 41.121(a)(2)-(3) and (b)(1)-(2), and the Board will proceed to determine whether the substitute claims are unpatentable by a preponderance of the evidence based on the entirety of the record. (*See* 37 C.F.R. § 41.121(d)(1); Patent Trial and Appeal Board, Consolidated Trial Practice Guide, November 2019 at 67-8.) Further, although Patent Owner need not do so, out of an abundance of caution, below Patent Owner provides a few reasons why the prior art recited in the Grounds fails to render the substitute independent claim unpatentable.

Independent claims 6 and 7 both require "(iv) a power socket comprising an opening located on the first side of the body" and "(v) a first connector disposed on the first side of the body, wherein the first connector is structurally distinct and separable from the power socket…." None of the cited prior art disclose, teach or suggest these requirements. Ex-2006, ¶ 117.

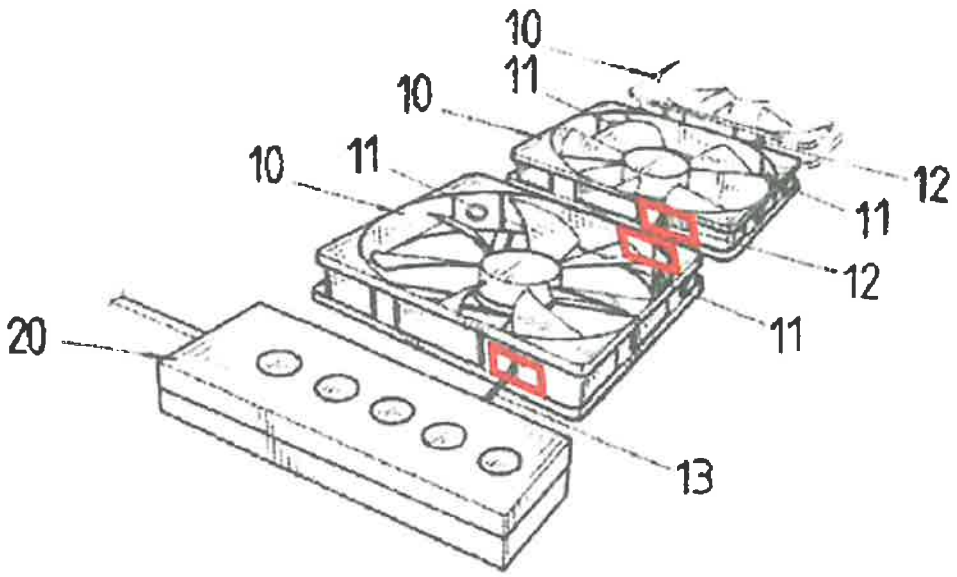
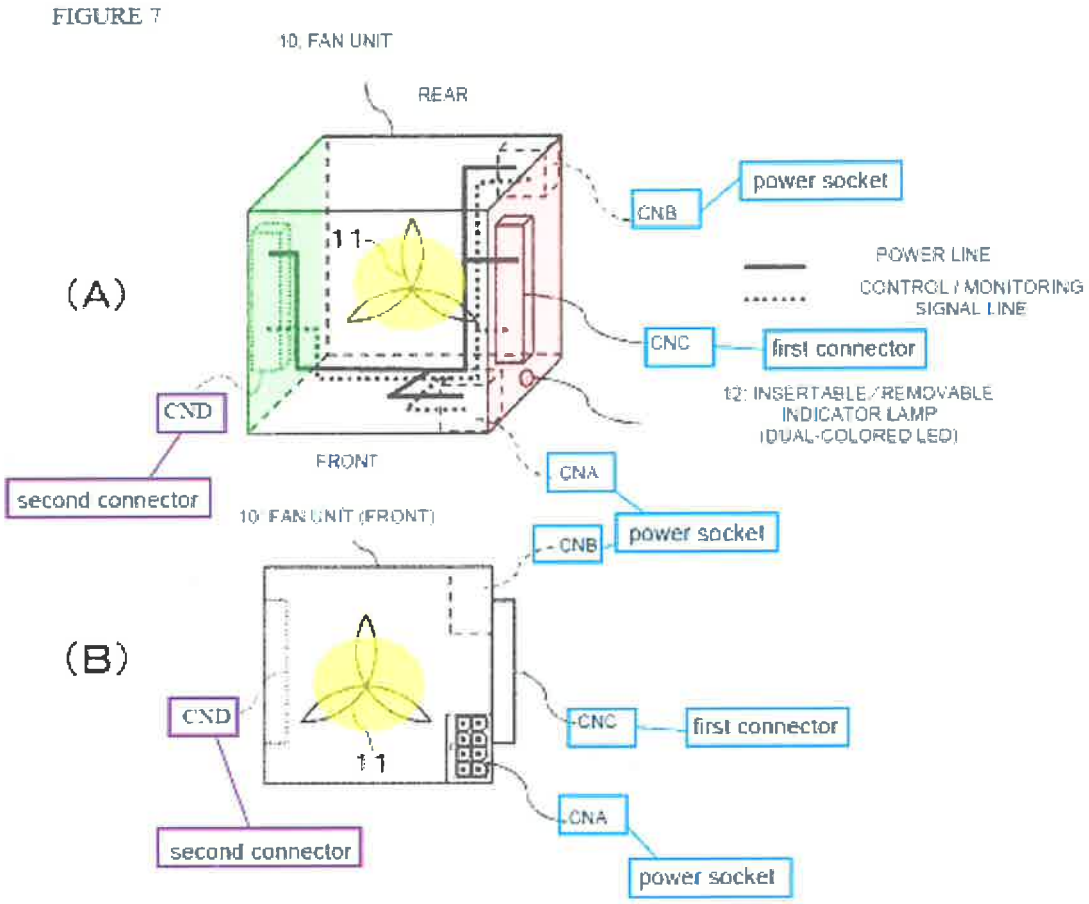


FIG. 3 of Lai (modified to position connectors on sides of the LED fan 10 body as shown in red boxes)

As can be seen above, Lai discloses (at best) a *single* connector on each of the two opposite sides of a fan body, but Lai fails to disclose "(iv) a power socket comprising an opening located on the first side of the body" *and* "(v) a first connector disposed on the first side of the body, wherein the first connector is structurally distinct and separable from the power socket …." Ex-2006, ¶ 118.

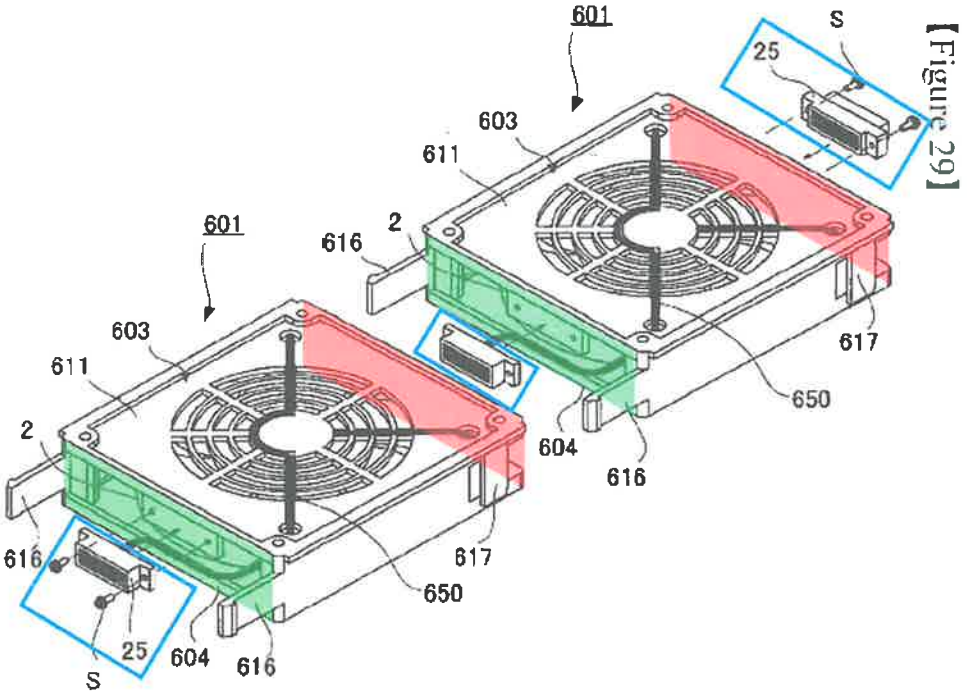
Tsuji also fails to disclose the requirements of "(iv) a power socket comprising an opening located on the first side of the body" and "(v) a first connector disposed on the first side of the body, wherein the first connector is structurally distinct and separable from the power socket…." Tsuji discloses the use of either a CNC connector having a protrusion or a CND connector having an opening, but not *both*

a power socket having an opening on the fan body's first side and a distinct first connector located on the *same* first side. Further, neither the CNC connector nor the CND connector of Tsuji has a flat surface as required by claim 7. Ex-2006, ¶ 119.

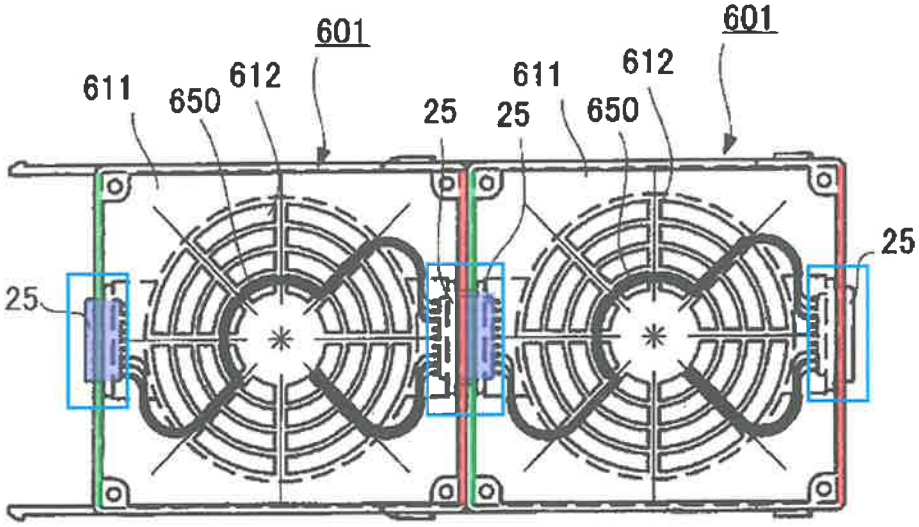


Hasegawa (JP 2005051085 A) is cumulative of Tsuji with respect to the connectors. Accordingly, Hasegawa also fails to disclose, teach or suggest the requirements of "(iv) a power socket comprising an opening located on the first side of the body" and "(v) a first connector disposed on the first side of the body, wherein the first connector is structurally distinct and separable from the power socket …."

Ex-2006, ¶ 120. As shown below, Hasegawa's arrangement has only a single connector (boxed in blue or purple) on each side (green or red) of the body:



【Figure 29】



(b)

Huang also fails to disclose "(iv) a power socket comprising an opening located on the first side of the body" and "(v) a first connector disposed on the first side of the body, wherein the first connector is structurally distinct and separable from the power socket …." Specifically, Huang discloses no power socket or connector at all. Thus, Huang cannot cure the deficiencies of Lai, Tsuji, and/or Hasegawa. Ex-2006, ¶ 121.

For at least the above reasons, substitute claims 6 and 7 patentably define over the prior art of Tsuji, Huang, Lai, and Hasegawa. Ex-2006, ¶ 122.

VIII. Conclusion

In view of the foregoing, the Contingent Motion to Amend should be granted in the event that the original claims 2 and/or 3 are found unpatentable.

Respectfully submitted,

GREENBERG TRAURIG, LLP

Date: May 14, 2025

By: */s/ Kyle Chen*

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Counsel for Patent Owner

CERTIFICATE OF SERVICE

I hereby certify that on this 14th of May 2025, a copy of this Patent Owner's Contingent Motion to Amend Pursuant to 37 C.F.R. § 42.121 including all attachments and exhibits has been served in its entirety via electronic mail by emailing Petitioner's below counsel as per Petitioner's Mandatory Notices.

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GREENBERG TRAURIG, LLP

Date: May 14, 2025

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APPENDIX A

REDLINED AND CLEAN VERSIONS OF THE PROPOSED SUBSTITUTE

Redlined Version (Relative to Original Claim 1)

6. A~~n~~ system comprising a first illumination fan for a computer connectable with a second ~~at least one~~ illumination fan for a computer, wherein:

(A) the first illumination fan comprisi~~ng~~es:

(i) a body comprising a top, a bottom, and sides, wherein the sides include at least a first side and a second side;

(ii), ~~provided with~~ a center fan located in a center of the body;~~,~~

(iii) an illumination area located at the top of the body and disposed on at least two sides of the center fan ~~at top of the body~~;~~,~~

(iv) a power socket comprising an opening disposed on the first side of the body; ~~and~~

(v) a first connector disposed on the first ~~one~~ side of the body, wherein the first connector is structurally distinct and separable from the power socket, and wherein the first connector comprises a first electrical terminal configured to electrically connect with a second electrical terminal of the second illumination fan;~~,~~ and

(vi) a second connector disposed on the second ~~another~~ side of the body;~~,~~

(B) ~~wherein~~ the power socket is electrically connected with the first connector, the second connector, the center fan and the illumination area, such that when the power socket on the ~~one~~ first side of the body is supplied with power, the

center fan and the illumination area of the body of the first illumination fan are respectively driven into rotation and illumination~~,~~; and

(C) when the first connector of the body is connected with a second connector of a body of ~~another~~ the second illumination fan, a center fan and an illumination area of the body of ~~another~~ the second illumination fan are respectively driven into rotation and illumination.

7. A~~n~~ system comprising a first illumination fan for a computer connectable with a second ~~at least one~~ illumination fan for a computer, wherein:

(A) the first illumination fan compris~~ing~~es:

(i) a body comprising a top, a bottom, and sides, wherein the sides include at least a first side and a second side;

(ii), ~~provided with~~ a center fan located in a center of the body;~~,~~

(iii) an illumination area located at the top of the body and disposed on at least two sides of the center fan ~~at top of the body~~;~~,~~

(iv) a power socket comprising an opening disposed on the first side of the body; ~~and~~

(v) a first connector comprising a first flat surface disposed on the first ~~one~~ side of the body, wherein the first connector is structurally distinct and separable from the power socket, and wherein the first connector comprises a first electrical terminal configured to electrically connect with a second electrical terminal of the second illumination fan;~~,~~ and

(vi) a second connector comprising a second flat surface disposed on the second ~~another~~ side of the body;~~,~~

(B) ~~wherein~~ the power socket is electrically connected with the first connector, the second connector, the center fan and the illumination area, such that when the power socket on the ~~one~~ first side of the body is supplied with power, the

center fan and the illumination area of the body of the first illumination fan are respectively driven into rotation and illumination~~,~~; and

(C) when the first connector of the body is connected with a second connector of a body of ~~another~~ the second illumination fan, a center fan and an illumination area of the body of ~~another~~ the second illumination fan are respectively driven into rotation and illumination.

6. A system comprising a first illumination fan for a computer connectable with a second illumination fan for a computer, wherein:

(A) the first illumination fan comprises:

(i) a body comprising a top, a bottom, and sides, wherein the sides include at least a first side and a second side;

(ii), a center fan located in a center of the body;

(iii) an illumination area located at the top of the body and disposed on at least two sides of the center fan;

(iv) a power socket comprising an opening disposed on the first side of the body;

(v) a first connector disposed on the first side of the body, wherein the first connector is structurally distinct and separable from the power socket, and wherein the first connector comprises a first electrical terminal configured to electrically connect with a second electrical terminal of the second illumination fan; and

(vi) a second connector disposed on the second side of the body;

(B) the power socket is electrically connected with the first connector, the second connector, the center fan and the illumination area, such that when the power socket on the first side of the body is supplied with power, the center fan and the illumination area of the body of the first illumination fan are respectively driven into rotation and illumination; and

(C) when the first connector of the body is connected with a second connector of a body of the second illumination fan, a center fan and an illumination area of the body of the second illumination fan are respectively driven into rotation and illumination.

7. A system comprising a first illumination fan for a computer connectable with a second illumination fan for a computer, wherein:

(A) the first illumination fan comprises:

(i) a body comprising a top, a bottom, and sides, wherein the sides include at least a first side and a second side;

(ii), a center fan located in a center of the body;

(iii) an illumination area located at the top of the body and disposed on at least two sides of the center fan;

(iv) a power socket comprising an opening disposed on the first side of the body;

(v) a first connector comprising a first flat surface disposed on the first side of the body, wherein the first connector is structurally distinct and separable from the power socket, and wherein the first connector comprises a first electrical terminal configured to electrically connect with a second electrical terminal of the second illumination fan; and

(vi) a second connector comprising a second flat surface disposed on the second side of the body;

(B) the power socket is electrically connected with the first connector, the second connector, the center fan and the illumination area, such that when the power socket on the first side of the body is supplied with power, the center fan and the illumination area of the body of the first illumination fan are respectively driven into rotation and illumination; and

(C) when the first connector of the body is connected with a second connector of a body of the second illumination fan, a center fan and an illumination area of the body of the second illumination fan are respectively driven into rotation and illumination.

APPENDIX B

Listing of Potentially Material Art Known to Patent Owner from the District Court Litigation

PTO/SB/08a (01-25)
Approved for use through 11/30/2027. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Application Number	16403867
Filing Date	2019-05-06
First Named Inventor	Chien-Hao Chen
Art Unit	2875
Examiner Name	Bao Q Truong
Attorney Docket Number	5900/0619PUS1

U.S. PATENTS

Examiner Initial*	Cite No	Patent Number	Kind Code[1]	Issue Date	Name of Inventor of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1	10,690,336		2020-06-23	Chien-Hao Chen	

If you wish to add additional U.S. Patent citation information, please click the Add button.

U.S. PATENT APPLICATION PUBLICATIONS

Examiner Initial*	Cite No	Publication Number	Kind Code[1]	Publication Date	Name of Inventor or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
	1					

If you wish to add additional U.S. Published Application citation information, please click the Add button.

FOREIGN PATENT DOCUMENTS

Examiner Initial*	Cite No	Foreign Document Number[3]	Country Code[2] i	Kind Code[4]	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear	T[5]
	1							☐

If you wish to add additional Foreign Patent Document citation information, please click the Add button

NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.	T[5]

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Application Number	16403867
Filing Date	2019-05-06
First Named Inventor	Chien-Hao Chen
Art Unit	2875
Examiner Name	Bao Q Truong
Attorney Docket Number	5900/0619PUS1

	1		☐

If you wish to add additional non-patent literature document citation information, please click the Add button

EXAMINER SIGNATURE

Examiner Signature		Date Considered	

*EXAMINER: Initial if reference considered and whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

[1] See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. [2] Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). [3] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [4] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [5] Applicant is to place a check mark here if English language translation is attached.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Application Number	16403867
Filing Date	2019-05-06
First Named Inventor	Chien-Hao Chen
Art Unit	2875
Examiner Name	Bao Q Truong
Attorney Docket Number	5900/0619PUS1

TIMING STATEMENT

Please see 37 CFR 1.97(e) to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

OR

☐ That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).

☐ See attached timing statement under 37 CFR 1.97(e).

☐ A timing statement under 37 CFR 1.97(e) is not submitted herewith.

TIMING FEE

☐ The fee set forth in 37 CFR 1.17(p) has been submitted herewith.

COPIES

☐ An identification of an earlier application pursuant to 37 CFR 1.98(d)(1) is attached.

SIZE FEE ASSERTION

Please see 37 CFR 1.17(v) and the IDS Auto-Load Instructions for completing this form to make the appropriate selection of an assertion under 37 CFR 1.98. For the information disclosure statement (IDS) submitted herewith, the applicant or patent owner certifies the following with respect to the cumulative number of applicant-provided or patent-owner provided items of information submitted to date including those in the accompanying IDS (select only one):

☐ No IDS size fee is required under 37 CFR 1.17(v) at this time.

☐ The IDS is accompanied by the IDS size fee under 37 CFR 1.17(v)(1).

☐ The IDS is accompanied by the IDS size fee under 37 CFR 1.17(v)(2).

☐ The IDS is accompanied by the IDS size fee under 37 CFR 1.17(v)(3).

SIGNATURE

A signature of the applicant or representative is required in accordance with 37 CFR 1.33 and 11.18. Please see 37 CFR 1.4(d) for the form of the signature.

Signature		Date (YYYY-MM-DD)	
Name/Print		Registration Number	

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Application Number	16403867
Filing Date	2019-05-06
First Named Inventor	Chien-Hao Chen
Art Unit	2875
Examiner Name	Bao Q Truong
Attorney Docket Number	5900/0619PUS1

This collection of information is required by 37 CFR 1.97 and 1.98. 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 1.14. This collection is estimated to take 1 hour 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.**

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 the Freedom of Information Act requires disclosure of these record s.

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 inspections 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.

10,690,336 (16 / 403,867)	Prod_Bates Range	Comment
20210318-P187874KR-OA		Received from pt20@mission.com.tw on 2/25/25
20210428-P187874KR-claim amendment		Received from pt20@mission.com.tw on 2/25/25
CN 101725571 A (Abstract)	LL-Thermaltake-0003315- LL-Thermaltake-0003344 LL-Phanteks-0003315- LL-Phanteks-0003344 (abstract)	Production
CN 108457884 A		Cited by Examiner
CN 11241866620		Received from pt20@mission.com.tw on 2/24/25
CN 11340163880		Received from pt20@mission.com.tw on 2/24/25
CN 209216026 U		Received from pt20@mission.com.tw on 2/24/25
CN 219282042 U	THERM_001541- THERM_001550	Production
CN100441883C	PHANTEKs-LL-00000498- PHANTEKs-LL-00000520 PHANTEKs-LL-00000521- PHANTEKs-LL-00000549	Production
CN101725571A	PHANTEKs-LL-00000470- PHANTEKs-LL-00000480 PHANTEKs-LL-00000481- PHANTEKs-LL-00000497 (Eng.)	Production
CN112392754A	LL-Thermaltake-0002440- LL-Thermaltake-0002447 LL-Phanteks-0002440- LL-Phanteks-0002447	Production

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CN2419399Y	LL-Thermaltake-0003289- LL-Thermaltake-0003314 (abstract) PHANTEKs-LL-00000412- PHANTEKs-LL-00000426 PHANTEKs-LL-00000427- PHANTEKs-LL-00000445 (Eng.) LL-Phanteks-0003289- LL-Phanteks-0003314	Production
CN2861563Y	LL-Thermaltake-0000198- LL-Thermaltake-0000216 (abstract) LL-Thermaltake-0003203- LL-Thermaltake-0003238 (abstract) PHANTEKs-LL-00000368- PHANTEKs-LL-00000386 PHANTEKs-LL-00000387- PHANTEKs-LL-00000411 (Eng.) LL-Phanteks-0000198- LL-Phanteks-0000216 LL-Phanteks-0003203- LL-Phanteks-0003238 (abstract)	Production

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CN2861564Y	LL-Thermaltake-0003261-LL-Thermaltake-0003288 (abstract) PHANTEKs-LL-00000331-PHANTEKs-LL-00000346 PHANTEKs-LL-00000347-PHANTEKs-LL-00000367 (Eng.) LL-Phanteks-0003261-LL-Phanteks-0003288 (abstract)	Production
DE20 2019 102 711 U1		Received from pt20@mission.com.tw on 2/24/25
DE202021102818U1	LL-Thermaltake-0002448-LL-Thermaltake-0002473 LL-Phanteks-0002448-LL-Phanteks-0002473	Production
Evaluation Report of Utility Model Patent		Received from pt20@mission.com.tw on 2/24/25
https://web.archive.org/web/20170127133839/www.nzxt.com/product-overview/aer-rgb-features	LL-Thermaltake-0000358-LL-Thermaltake-0000363	Invalidity Contentions
https://web.archive.org/web/20170619152048/https:/sta3-nzxtcorporation.netdna-ssl.com/uploads/download/attachment/600/Aer_RGB-manual-092116-ver2.pdf	THERM_000404	Invalidity Contentions
https://web.archive.org/web/20170926165840/https:/news.xfastest.com/review/review-focus/41087/in-win-polaris-rgb-fan-review/	THERM_001020-THERM_001041	Invalidity Contentions
https://www.youtube.com/watch?v=eP--R9qwbJc	LL-Thermaltake-0000542-LL-Thermaltake-0000544 LL-Thermaltake-0000916 LL-Thermaltake-0000917 THERM_000007 LL-Thermaltake-0000567 (video)	Invalidity Contentions
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https://www.youtube.com/watch?v=JBo6gkmZVp4	LL-Thermaltake-0000806 (video) LL-Thermaltake-0000807-LL-Thermaltake-0000808	Invalidity Contentions
https://www.youtube.com/watch?v=JnH2Z0Q_qCI	LL-Thermaltake-0000804 (video) LL-Thermaltake-0000805	Invalidity Contentions

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https://www.youtube.com/watch?v=lGtO2-V3VIU	LL-Thermaltake-0000572 (video)	Invalidity Contentions
https://www.youtube.com/watch?v=qt32ZYTg0cs	LL-Thermaltake-0000842 (video) LL-Thermaltake-0000843 LL-Thermaltake-0000844	Invalidity Contentions
https://www.youtube.com/watch?v=SLu0EU5YuU4&t=432s	LL-Thermaltake-0000920 LL-Thermaltake-0000921 THERM_001586	Invalidity Contentions
https://www.youtube.com/watch?v=zMHGas8gaN8	LL-Thermaltake-0000921 (video) LL-Thermaltake-0000922 LL-Thermaltake-0000923	Invalidity Contentions
JP2005051085A	THERM_001708- THERM_001744 THERM_001745- THERM_001782 (Eng.) THERM_002346- THERM_002382 (Ex. 1013) THERM_002414- THERM_002451 (Ex. 1014, Eng.)	IPR2024-01230
JP2005-123685A	PHANTEKs-LL-00000312- PHANTEKs-LL-00000330 (Eng.)	Production
JP2010205972A	LL-Thermaltake-0000924-LL-Thermaltake-0000930 LL-Thermaltake-0000218- LL-Thermaltake-0000224 THERM_001578- THERM_001584 LL-Phanteks-0000218- LL-Phanteks-0000224 LL-Phanteks-0000924- LL-Phanteks-0000930	Invalidity Contentions

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KR20-0494193	LL-Thermaltake-0003111- LL-Thermaltake-0003118 THERM_001833- THERM_001839 LL-Phanteks-0003111- LL-Phanteks-0003118	Production
KR20200001505U		Espacenet
KR2020190002333	LL-Phanteks-0003119- LL-Phanteks-0003122	
TW 107217659 U		IPR2024-01230
TW M524139-20160621	LL-Thermaltake-0000726- LL-Thermaltake-0000746	From nsg@gikkaslaw.com on 10/6/2023

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TW M571644-20181211	LL-Thermaltake-0000277- LL-Thermaltake-0000298 LL-Thermaltake-0000592- LL-Thermaltake-0000613 THERM_000041- THERM_000062 LL-Phanteks-0000277- LL-Phanteks-0000298 LL-Phanteks-0000420- LL-Phanteks-0000424 LL-Phanteks-0000592- LL-Phanteks-0000613 LL-Phanteks-0000614- LL-Phanteks-0000618	From nsg@gikkaslaw.com on 10/6/2023 Production
TW282827U-19960801	LL-Thermaltake-0000711- LL-Thermaltake-0000725 LL-Thermaltake-0000369- LL-Thermaltake-0000383 THERM_000107- THERM_000121 LL-Phanteks-0000369- LL-Phanteks-0000383 LL-Phanteks-0000706- LL-Phanteks-0000710 LL-Phanteks-0000711- LL-Phanteks-0000725 LL-Phanteks-0003239- LL-Phanteks-0003260 (abstract)	Invalidity Contentions From nsg@gikkaslaw.com on 10/6/2023 Production
TWI522782B	PHANTEKs-LL-00000178- PHANTEKs-LL-00000197 PHANTEKs-LL-00000198- PHANTEKs-LL-00000217 (Eng.)	Production
TWI775700B	LL-Thermaltake-0002506- LL-Thermaltake-0002539 LL-Phanteks-0002506- LL-Phanteks-0002539	Production

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TWM639840 U	THERM_001560- THERM_001577	Production
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US2002/0094283	LL-Thermaltake-0000619-LL-Thermaltake-0000626 THERM_000063-THERM_000070 LL-Thermaltake-0000465-LL-Thermaltake-0000472 LL-Phanteks-0000465-LL-Phanteks-0000472 LL-Phanteks-0000619-LL-Phanteks-0000626	Invalidity Contentions From nsg@gikkaslaw.com on 10/6/2023
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US2005123685	PHANTEKs-LL-00000298-PHANTEKs-LL-00000311 PHANTEKs-LL-00000298-PHANTEKs-LL-00000311	Production
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10,690,336 (16 / 403,867)	Prod_Bates Range	Comment
US20080124234A1	THERM_001654- THERM_001674 THERM_002300- THERM_002320 (Ex. 1009)	IPR2024-01230
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US2009/0214337A1	PHANTEKs-LL-00000063- PHANTEKs-LL-00000120	Production
US2009/0246015A1	PHANTEKs-LL-00000051- PHANTEKs-LL-00000062	
US20110116234A1	LL-Thermaltake-0000484-LL- Thermaltake-0000493 LL-Thermaltake-0000762-LL- Thermaltake-0000771 LL-Thermaltake-0002626-LL- Thermaltake-0002635 THERM_000012- THERM_000021 LL-Phanteks-0000484- LL-Phanteks-0000493 LL-Phanteks-0000762- LL-Phanteks-0000771 LL-Phanteks-0002626- LL-Phanteks-0002635	Production
US20150233391A1	THERM_001684- THERM_001699 THERM_002330- THERM_002345 (Ex. 1011)	IPR2024-01230
US2017/0331346 A1	LL-Thermaltake-0000494- LL-Thermaltake-0000497 LL-Thermaltake-0000588-LL- Thermaltake-0000591 THERM_000008- THERM_000011	Cited by Examiner

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US20170314777A1	LL-Thermaltake-0003141- LL-Thermaltake-0003150 THERM_001700- THERM_001707 THERM_002131- THERM_002161 PHANTEKs-LL-00000043- PHANTEKs-LL-00000050 LL-Phanteks-0003141- L-Phanteks-0003150	Invalidity Contentions IPR2024-01230
US20170331346A1	LL-Thermaltake-0002636- LL-Thermaltake-0002639 LL-Phanteks-0000494- LL-Phanteks-0000497 LL-Phanteks-0000588- LL-Phanteks-0000591 LL-Phanteks-0002636- LL-Phanteks-0002639	Production
US20180231241A1	LL-Thermaltake-0000498- LL-Thermaltake-0000508 LL-Thermaltake-0000577- LL-Thermaltake-0000587 THERM_000025- THERM_000035 LL-Phanteks-0000498- LL-Phanteks-0000508 LL-Phanteks-0000577- LL-Phanteks-0000587	Invalidity Contentions From nsg@gikkaslaw.com on 10/6/2023
US20190242688A	LL-Thermaltake-0002640- LL-Thermaltake-0002653 LL-Phanteks-0002640- LL-Phanteks-0002653	Cited by Examiner Production
US20190301473A1	LL-Thermaltake-0002654- LL-Thermaltake-0002666 LL-Phanteks-0002654- LL-Phanteks-0002666	Cited by Examiner Production
US2020208832A1		Espacenet
US20220381253A1	LL-Thermaltake-0002667-LL- Thermaltake-0002689 LL-Phanteks-0002667- LL-Phanteks-0002689	Production
US20230188001A1	LL-Thermaltake-0002690-LL- Thermaltake-0002719 LL-Phanteks-0002690- LL-Phanteks-0002719	Production

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US6,679,771	LL-Thermaltake-0000436- LL-Thermaltake-0000443 LL-Thermaltake-0000946-LL- Thermaltake-0000955 LL-Phanteks-0000436- LL-Phanteks-0000443 LL-Phanteks-0000946- LL-Phanteks-0000955	Invalidity Contentions
US6,827,549 B1	PHANTEKs-LL-00000032- PHANTEKs-LL-00000042	Production
US7332841	LL-Thermaltake-0000444- LL-Thermaltake-0000457 LL-Thermaltake-0002573- LL-Thermaltake-0002586 LL-Phanteks-0000444- LL-Phanteks-0000457 LL-Phanteks-0002573- LL-Phanteks-0002586	Cited by Examiner
US7563070	LL-Thermaltake-0000458-LL- Thermaltake-0000464 LL-Phanteks-0000458- LL-Phanteks-0000464	Production
US8,162,691	LL-Thermaltake-0000956-LL- Thermaltake-0000970 THERM_000708- THERM_000722 LL-Phanteks-0000956- LL-Phanteks-0000970	Invalidity Contentions
WO 2008/061519 A1	LL-Thermaltake-0003153- LL-Thermaltake-0003184 THERM_001859- THERM_001889 THERM_001890- THERM_001907 (abstract) THERM_002383- THERM_002413 THERM_002452- THERM_002468 (abstract) PHANTEKs-LL-00000001- PHANTEKs-LL-00000031 LL-Phanteks-0003153- LL-Phanteks-0003184 (Eng.) LL-Phanteks-0003185- LL-Phanteks-0003202 (abstract)	Production