# UNITED STATES SENATE COMMITTEE ON THE JUDICIARY

# QUESTIONNAIRE FOR NON-JUDICIAL NOMINEES

#### **PUBLIC**

1. Name: State full name (include any former names used).

Michelle Kwok Lee

2. Position: State the position for which you have been nominated.

Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office (USPTO)

3. <u>Address</u>: List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

Office: 600 Dulany Street -- MDW 10D44, Alexandria, VA 22314

Residence: Falls Church, VA

4. Birthplace: State year and place of birth.

1965; Santa Clara, CA

5. <u>Education</u>: List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

Stanford Law School, Stanford, CA

Attended: 9/1989 – 6/1992

Doctorate of Jurisprudence received on June 14, 1992

Massachusetts Institute of Technology, Cambridge, MA

Attended: 9/1984 - 6/1989

Master of Science in Electrical Engineering and Computer Science received on June 5, 1989

Bachelor of Science in Electrical Engineering received on June 5, 1989

6. <u>Employment Record</u>: List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for your services. Include the name and address of the employer and job title or description.

All entries listed in response to Question #6 are positions for which I receive or did receive compensation. My responses below are to the best of my knowledge.

U.S. Patent & Trademark Office, 600 Dulany Street, Alexandria, VA 22314

Dates: 2014 - Present

Title: Deputy Under Secretary of Commerce for Intellectual Property and Deputy Director of the United States Patent & Trademark Office

U.S. Patent & Trademark Office, 345 Middlefield Road, Bldg. 1, Menlo Park, CA 94025

Dates: 2012 - 2014

Title: Director of the Silicon Valley United States Patent & Trademark Office

Google Inc., 1600 Amphitheatre Parkway, Mountain View, CA 94043

Dates: 2003 - 2012

Titles: Deputy General Counsel, Head of Patents and Patent Strategy; prior to that, Associate General Counsel, Head of Patents and Patent Strategy; prior to that, Senior Patent Counsel

United States Patent and Trademark Office, 600 Dulany Street, Alexandria, VA 22313

Dates: 4/18/2011 – 10/6/2011, Reappointed 11/22/2011 - 11/4/2012

Title: Member of the Patent Public Advisory Committee ("PPAC")

Fenwick & West LLP, Silicon Valley Center, 801 California Street, Mountain View, CA 94041

Dates: 1996 - 2003

Title: Partner; prior to that, Associate.

Keker & Van Nest LLP, 633 Battery Street, San Francisco, CA 94111

Dates: 1994 - 1996

Title: Associate

U.S. Court of Appeals for the Federal Circuit, 717 Madison Place, N.W., Washington D.C. 20439

Dates: 1993 - 1994

Title: Judicial Law Clerk to Judge Paul R. Michel

U.S. District Court for the Northern District of California, 450 Golden Gate Avenue, San Francisco, CA 94102

Dates: 1992 - 1993

Title: Judicial Law Clerk to Judge Vaughn R. Walker

Skjerven, Morrill, MacPherson, Franklin & Friel LLP, 25 Metro Drive, Suite 700, San Jose, CA 95110

Dates: Briefly for about 2 weeks in August 1992, after taking the bar exam and before starting my clerkship on the U.S. District Court for the Northern District of California.

Title: Summer Associate

Flehr, Hobach, Test, Albritton, 850 Hansen Way, Palo Alto, CA 94304

Dates: Spring 1992, during my last semester at Stanford Law School.

Title: Part-time Associate

Fenwick & West LLP, Silicon Valley Center, 801 California Street, Mountain View, CA 94041

Dates: First half of summer of 1991

Title: Summer Associate

Wilson, Sonsini, Goodrich & Rosati LLP, 650 Page Mill Road, Palo Alto, CA 94304

Dates: Second half of summer of 1991

Title: Summer Associate

Morrison & Foerster LLP, 425 Market Street, San Francisco, CA 94105

Dates: Summer 1990

Title: Summer Associate

Hewlett-Packard Company, 1501 Page Mill Road, Palo Alto, CA 94304

Dates: Summers 1988 and 1989 and Fall semester 9/88-1/89

Title: Engineering Intern

7. <u>Military Service and Draft Status</u>: Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social security number) and type of discharge received, and whether you have registered for selective service.

I have not served in the military, nor have I registered for selective service.

8. <u>Honors and Awards</u>: List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

The information provided in response to Question 8 is to the best of my knowledge based upon review of my files and my recollection.

Member, Tau Beta Pi and Eta Kappa Nu Engineering Honorary Societies.

National Science Foundation Fellowship for Graduate Studies in Computer Science.

Asian Law Alliance's 2011 "Business Impact Honoree" Award in recognition of professional accomplishments and contribution to the Asian community

Listed by Intellectual Asset Management in 2011 as one of the top 50 people, companies or institutions to have helped shape the intellectual property landscape.

The San Francisco Business Times and Silicon Valley/San Jose Business Journal's 2012 Bay Area Corporate Counsel Award for Best IP Lawyer

Silicon Valley Business Journal's 2013 Top Most Influential Women in the Silicon Valley

Selected by The Recorder as one of the Top 50 Women Leaders in Tech Law in 2014

9. <u>Bar Associations</u>: List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

The information provided in response to Question 9 is to the best of my knowledge based upon review of my files and my recollection.

Federal Circuit Bar Association, Board Member (2010-Present), also Co-Chair of the In-House Subcommittee (2009-2010)

California State Bar Association, at various times member of the litigation and intellectual property law sections of the California Bar (1992-Present with a brief gap in 1994 for the reason stated in response to Question10.a below)

Intellectual Property Owners Association, Board Member (various months in 2011 and 2012)

Association of Corporate Patent Counsel, Member (2012)

Advanced Patent Law Institute Planning Committee Member (various years 2004-2010)

Stanford Law School – Board of Visitors (2009 - 2012)

Santa Clara Law High Technology Institute Advisory Board (2009-Present)

The George Washington University Law School IP Advisory Board, Member (2011-Present)

National Asian Pacific American Bar Association, Member (approximately 2010-2011)

ChIPs ("Chief IP Counsels") – Co-founder and Board Member (2004-Present)

Local Patent Rules Advisory Committee for Northern District of California, Member (2006-2012)

Magistrate Judge Merit Selection Committee for Northern District of California, Member (2009-2010)

IP Counsel Cafe Advisory Board (2008-2012)

Intellectual Property Section of the Bar Association of San Francisco's Barristers Club (Chair 1996-1997 and Vice-Chair 1995-1996)

Silicon Valley Intellectual Property Law Association, Participant (approximately 1998-2000)

#### 10. Bar and Court Admission:

a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

California State Bar (No. 160835), admitted December 14, 1992, and active until January 1, 1994, when I voluntarily chose inactive status during my 1 year clerkship at the U.S. Court of Appeals for the Federal Circuit; then active again on November 15, 1994, when I voluntarily chose active status when I began private practice at Keker & Van Nest.

District of Columbia Bar (No. 446526), admitted May 5, 1995, as an inactive member. On October 26, 1999, I voluntarily withdrew membership from the DC bar because I practiced exclusively in California.

United States Patent and Trademark Patent Bar (Registration No. 40,695), admitted August 4, 1997. Voluntarily changed to inactive status on November 8, 2012 to serve as Deputy Under Secretary of Commerce for Intellectual Property and Deputy Director of the United States Patent & Trademark Office.

b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

To my knowledge, there have been no lapses in membership to any of the courts listed below.

Note: This list does not include admissions *pro hac vice*.

U.S. Court of Appeals for the Federal Circuit, admitted July 11, 1994.

U.S. Court of Appeals for the Ninth Circuit, admitted January 27, 1993.

U.S. District Court for the Northern District of California, admitted December 14, 1992.

U.S. District Court for the Eastern District of Michigan, admitted December 14, 2005.

### 11. Memberships:

a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held. Include clubs, working groups, advisory or editorial boards, panels, committees, conference, or publications.

The information provided in response to Question 11 is to the best of my knowledge based upon review of my files and my recollection.

Asian Pacific Fund, Board Member (2011-2012)

MIT Club of Northern California, Participant (1988-2007)

Monte Jade Asian American Science and Technology Association, Asian American Chapter, Participant (approximately 1995-1998)

Asian American Manufacturer's Association, Participant (approximately 1996-2004)

Churchill Club, Participant (approximately 2002-2003)

Healthy Young Adults (HYA), Participant (1998-2001)

b. Indicate whether any of these organizations listed in response to 11a above currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

To my knowledge, none of the organizations listed in response to 11a above currently discriminate or formerly discriminated on the basis of race, sex, religion or

national origin.

#### 12. Published Writings and Public Statements:

a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

To answer this question, I have searched my files and papers and conducted an electronic Internet search for information and materials responsive to this question. Although I have sought to compile a list as complete as possible, there may be other published material that I have been unable to remember or identify.

A Lean-Forward Approach to Intellectual Property Leadership, published in Silicon Valley Leadership Group's "Game Changers" publication (September 2014). Copy of text provided.

Expanded 2014 Edison Scholars Program to Focus on Litigation Issues, (September 16, 2014).

http://www.uspto.gov/blog/director/entry/expanded\_2014\_edison\_scholars\_program.

USPTO's Plain Language Toolkit Empowers Public on Patent Litigation, (September 15, 2014). http://www.uspto.gov/blog/director/entry/uspto\_s\_plain\_language\_toolkit.

The USPTO-MBDA Webinar Series Continues in August, (August 5, 2014). http://www.uspto.gov/blog/director/entry/the\_uspto\_mbda\_webinar\_series.

Help Improve our AIA Trial Proceedings, (July 14, 2014). http://www.uspto.gov/blog/director/entry/help improve our aia trial.

Continued Progress Toward Implementing Patent Quality Executive Actions, (July 3, 2014).

http://www.uspto.gov/blog/director/entry/continued progress toward implementing patent.

Update on Our Satellite Offices, (June 16, 2014). http://www.uspto.gov/blog/director/entry/update on our satellite offices.

USPTO to Launch a Glossary Pilot Program that Will Support a Better Patent System,

(June 12, 2014). http://www.uspto.gov/blog/director/entry/uspto to launch a glossary.

An Update on Sustainable Funding for the USPTO, (June 9, 2014). <a href="http://www.uspto.gov/blog/director/entry/an\_update\_on\_sustainable\_funding">http://www.uspto.gov/blog/director/entry/an\_update\_on\_sustainable\_funding</a>.

National Day of Civic Hacking 2014, (May 27, 2014). http://www.uspto.gov/blog/director/entry/national\_day\_of\_civic\_hacking1.

Progress Continues with Our Patent Trial and Appeal Board, (May 2, 2014). http://www.uspto.gov/blog/director/entry/progress continues with our patent.

World IP Day, (April 25, 2014). http://www.uspto.gov/blog/director/entry/world\_ip\_day.

Inspiring the Next Generation of Investors, (April 17, 2014). http://www.uspto.gov/blog/director/entry/inspiring the next generation of.

An Update on Our Satellite Offices, (March 25, 2014). http://www.uspto.gov/blog/director/entry/an\_update\_on\_our\_satellite.

Our Vision for 2014-2018, (March 14, 2014). http://www.uspto.gov/blog/director/entry/our vision for 2014 2018.

Calling on the Crowd to Help Increase Patent Quality, (March 13, 2014). <a href="http://www.uspto.gov/blog/director/entry/calling">http://www.uspto.gov/blog/director/entry/calling</a> on the crowd to 1.

Building a Better Patent System, (February 20, 2014). http://www.uspto.gov/blog/director/entry/building a better patent system.

Moving Forward in 2014, (January 23, 2014). http://www.uspto.gov/blog/director/entry/moving forward in 2014.

Debating the future of innovation at the Supreme Court, (November 9, 2009). <a href="http://googlepublicpolicy.blogspot.com/2009/11/debating-future-of-innovation-at.html">http://googlepublicpolicy.blogspot.com/2009/11/debating-future-of-innovation-at.html</a>.

Patent reform needed more than ever, (March 3, 2009). <a href="http://googlepublicpolicy.blogspot.com/2009/03/patent-reform-needed-more-than-ever.html">http://googlepublicpolicy.blogspot.com/2009/03/patent-reform-needed-more-than-ever.html</a>.

Johanna Shelton and Michelle Lee, Reforming patents, promoting innovation,

(September 4, 2007). <a href="http://googlepublicpolicy.blogspot.com/2007/09/reforming-patents-promoting-innovation.html">http://googlepublicpolicy.blogspot.com/2007/09/reforming-patents-promoting-innovation.html</a>

Henry Bunsow and Michelle Lee, *Patent Roles for Judges and Juries*, *The Recorder* (Sept. 20, 1995). Copy of article provided.

High Technology Consortia: A Panacea for America's Technological Competitiveness Problems? in 6:2 Berkeley High Technology L.J. (Spring 1992) (reprinted in 21:1 IEEE Engineering Management Review 77 (Spring 1993)). http://scholarship.law.berkeley.edu/btlj/vol6/iss2/4/

Qualitative Analysis of Nonlinear, Dynamical Systems, MIT Artificial Intelligence Laboratory Technical Report (TR1125) (MIT Masters Thesis, 1989). ftp://publications.ai.mit.edu/ai-publications/pdf/AITR-1125.pdf

b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum, or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.

To answer this question, I have searched my files and papers and conducted an electronic internet search for information and materials responsive to this question. Although I have sought to compile a list as complete as possible, there may be other reports, memoranda and policy statements that I have been unable to remember or identify.

United States Patent and Trademark Office Patent Public Advisory Committee Annual Report 2011, November 4, 2011. <a href="http://www.uspto.gov/about/advisory/ppac/2011-annual">http://www.uspto.gov/about/advisory/ppac/2011-annual</a> rpt.pdf

United States Patent and Trademark Office Patent Public Advisory Committee Annual Report 2012, November 2, 2012. <a href="http://www.uspto.gov/about/advisory/ppac/2012-annual-rpt.pdf">http://www.uspto.gov/about/advisory/ppac/2012-annual-rpt.pdf</a>

c. Supply four (4) copies of any testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.

Testimony before the Federal Trade Commission on May 5, 2009. Report resulting from testimony at: <a href="http://www.ftc.gov/os/2011/03/110307patentreport.pdf">http://www.ftc.gov/os/2011/03/110307patentreport.pdf</a>

Testimony before the State of California's Assembly Select Committee on High Technology on October 30, 2013. Copy of testimony provided.

Briefing of the staff of the U.S. Senate Judiciary Committee on January 24, 2014. Copy of testimony provided.

Briefing of the staff of the U.S. Senate Judiciary Committee on January 31, 2014. Copy of notes provided.

Written Testimony before the Subcommittee on Courts, Intellectual Property and the Internet, Committee on the Judiciary, U.S. House of Representatives on July 30, 2014. <a href="http://www.uspto.gov/news/speeches/2014/lee\_housetestimony073014.pdf">http://www.uspto.gov/news/speeches/2014/lee\_housetestimony073014.pdf</a>

Oral Testimony of Michelle K. Lee, Deputy Under Secretary of Commerce for Intellectual Property and Deputy Director of the United States Patent & Trademark Office before the Subcommittee on Courts, Intellectual Property and the Internet, Committee on the Judiciary, U.S. House of Representatives on July 30, 2014. <a href="http://www.ustream.tv/recorded/50727158">http://www.ustream.tv/recorded/50727158</a>

d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports about the speech or talk. If you do not have a copy of the speech or a transcript or recording or your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

To answer this question, I performed a reasonable search of my files and papers and the internet for information and materials responsive to this question. Although I have sought to compile a list as complete as possible, there may be other speeches or talks, or press reports about such speeches or talks, that I have been unable to remember or identify. I have frequently spoken at conferences and events as part of my current and past jobs.

November 1997, guest lecturer to a group of students at M.I.T. on copyright protection

of the "look and feel" of computer graphical user interfaces. M.I.T. Department of Electrical Engineering and Computer Science, 77 Massachusetts Ave., MA 02139.

June 2002, speaker at an Asian American Manufacturers' Association Conference in the San Francisco Bay Area. Copy of notes provided.

April 25, 2002, speaker at a start-up workshop on intellectual property issues in Santa Clara, CA. Copy of notes provided.

August 12, 2003, speaker to Hua Yuan Science & Technology Association in Mountain View, CA. Copy of notes provided.

May 17-18, 2004, panelist at WIPO Comes to the Silicon Valley conference in Stanford, CA. Spoke on the topic of the duty of care and the role of opinions in responding to demand letters of patent infringement. Attendees included members of the Stanford Law School and WIPO communities. Stanford Law School, 559 Nathan Abbott Way, Stanford, CA 94305.

December 1, 2005, panelist at the Advanced Patent Law Institute in San Jose, CA, co-hosted by the Stanford and Berkeley Centers for Law & Technology and the University of Texas Law School. Copy of notes provided.

November 30, 2006, panelist at Advanced Patent Law Institute, co-hosted by the Stanford and Berkeley Centers for Law & Technology and the University of Texas Law School. To the best of my knowledge, this event was held in Palo Alto, CA. Spoke on a panel titled, "Strategic Patent Prosecution." Attendees included private practitioners, inhouse counsel and academics. The University of Texas School of Law, Attn. PJ06, P.O. Box 7759, Austin, TX 78713.

February 20, 2007, panelist at Software IP Strategy Summit hosted by the American Conference Institute in Palo Alto, CA. Spoke on the topics of managing and monetizing a patent portfolio. Attendees included private practitioners, in-house counsel and academics. American Conference Institute, 41 West 25<sup>th</sup> St., New York, NY 10010

May 16, 2007, co-chair and moderator of conference titled "Innovations in IP Litigation: Gauging the Impact of Recent Federal Decisions -- What it Means For You and Your Client" in San Jose, CA. Attendees included private practitioners, in-house counsel and academics. ALM Events, 333 Seventh Ave., 9<sup>th</sup> floor, New York, NY 10001.

July 31, 2007, panelist at AlwaysOn Stanford Summit on panel titled "The Patent Crisis: Crossroads for the Business of Technology" in Stanford, CA. Attendees included

members of the Stanford community and the local business and venture capital communities. I do not have a copy of my remarks nor the address for the AlwaysOn Stanford Summit. Copy of press report about the panel provided.

June 25-28, 2008, panelist at the 10th Annual Federal Circuit Bench and Bar Conference. To the best of my knowledge, this event was held in Monterey, California. Title of panel, "Technology, Innovation and Trade: Are our laws encouraging or discouraging innovation?" Attendees included members of the Federal Circuit Bar Association and other private practitioners, in-house counsel, government lawyers and academics. Federal Circuit Bar Association, 1620 I Street, N.W., Washington, D.C. 20006.

December 11, 2008, panelist at Advanced Patent Law Institute co-hosted by the Stanford and Berkeley Centers for Law & Technology and the University of Texas Law School, in Palo Alto, CA. Panel titled, "When to Hold, When to Fold: Litigation Judgment and Settlement Strategies in Patent Cases." Attendees included private practitioners, inhouse counsel and academics who signed up to attend the conference. The University of Texas School of Law, Attn. PJ08, P.O. Box 7759, Austin, TX 78713.

April 1-2, 2009, panelist at IP Counsel Café conference in Palo Alto, CA. Title of panel: "Where's the Next Opportunity?" Attendees included private practitioners, in-house counsel and academics who signed up to attend the conference. IP Counsel Café, 419 Lafayette St., 2<sup>nd</sup> Floor, New York, NY 10003.

March 1, 2010, panelist on the Federal Circuit Bar Association's webinar titled "The Federal Circuit's Mandatory Mediation Program." Attendees included private practitioners, in-house counsel, government lawyers and academics. Federal Circuit Bar Association, 1620 I Street, N.W., Washington, D.C. 20006.

October 10, 2010, moderator of corporate panel hosted by the Federal Circuit Bar Association and the Berkeley Center for Law & Technology in Berkeley, CA. Copy of notes provided.

October 22, 2010, moderator of panel at conference co-hosted by Stanford Law School and Georgetown University Law Center in Washington, D.C. Copy of notes and video provided.

November 20, 2010, panelist at the National Asian Pacific American Bar Association Conference on the topic of "What's Hot and What's Not in IP -- A Survey of Key Developments in Recent Years" in Los Angeles, CA. Attendees included members of the National Asian Pacific American Bar Association. NAPABA, 1612 K Street, N.W.,

Suite 1400, Washington, D.C. 20006.

April 6-7, 2011, either provided opening remarks or moderated a panel in Palo Alto, California hosted by IP Counsel Café on "NPE's and Other IP Challenges: The New Approach." Attendees included private practitioners, in-house counsel and academics. IP Counsel Café, 419 Lafayette St., 2<sup>nd</sup> Floor, New York, NY 10003.

June 22-25, 2011, moderator of a panel at the Federal Circuit Bench and Bar Conference on the topic of "Corporate Perspectives: Competitiveness and Innovation" in Key Biscayne, FL. Attendees included members of the Federal Circuit Bar Association and other private practitioners, government lawyers, in-house counsel, government lawyers, judges and academics. Federal Circuit Bar Association, 1620 I Street, N.W., Washington, D.C. 20006.

September 30, 2011, panelist for Asian Pacific American Bar Association of Silicon Valley event in the San Francisco Bay Area. Leaders from the tech industry provided their perspectives on patent reform. Attendees included members of the Silicon Valley Asian Pacific American Bar Association. APABA-SV, P.O. Box 1741, Fremont, CA 94538.

November 4, 2011, moderator of panel at conference co-hosted by Stanford Law School and Georgetown University Law Center on "The America Invents Act: What Congressional Action Means for the Courts" in Washington, D.C. Attendees included private practitioners, in-house counsel, judges, government lawyers and academics. Academic Conferences & Continuing Legal Education, 600 New Jersey Ave., N.W., Washington, D.C. 20001.

October 26, 2011, panelist at RPX Fall Conference 2011 on "Patent Reform Legislation Has Been Enacted -- Now What?" in Palo Alto, CA. Attendees included representatives from various companies. RPX Corporation, One Market Plaza, Steuart Tower, Suite 700, San Francisco, CA 94105.

November 18, 2011, panelist on "The Future of Cleantech: Perspectives from California and Beyond" at conference hosted by the National Asian Pacific American Bar Association Conference in Atlanta, GA. Attendees included members of the National Asian Pacific American Bar Association and other private practitioners, government lawyers, judges, in-house counsel and academics. NAPABA, 1612 K Street, N.W., Suite 1400, Washington, D.C. 20006.

March 30, 2012, speaker for the American Bar Association's Annual IP Conference in Arlington, VA. Copy of notes provided.

April 18, 2012, opening remarks to IP Counsel Café conference in Palo Alto, CA. Copy of notes provided.

May 21, 2012, panelist at the Patent Institutions Summit in Stanford, CA. Copy of video at <a href="https://www.youtube.com/watch?v=ni9NZo5yWpM">https://www.youtube.com/watch?v=ni9NZo5yWpM</a>.

October 10, 2012, speaker at ChIPs Women in IP Global Summit in Washington, D.C. Copy of notes provided.

October 10, 2012, moderator of panel at ChIPs Women in IP Global Summit in Washington, D.C. Copy of notes provided.

January 29, 2013, keynote luncheon speaker at the Los Angeles Intellectual Property Law Association conference in Los Angeles, CA. Copy of notes and slides provided.

February 12, 2013, opening remarks for USPTO Software Partnership Roundtable in Silicon Valley in Palo Alto, CA. Copy of notes provided.

February 25, 2013, speaker at conference hosted by McDermott Will & Emery LLP in Menlo Park, CA. Copy of notes provided.

February 27, 2013, opening remarks for USPTO Software Partnership Roundtable in New York, NY. Copy of notes provided.

March 1, 2013, keynote speaker at George Washington University Law School's Intellectual Property Panel Symposium in San Francisco, CA. Copy of notes provided.

March 12, 2013, speaker to High Technology Law Group in Menlo Park, CA. Copy notes provided.

March 14, 2013, panelist at USC Gould School of Law's 2013 Intellectual Property Institute conference in Beverly Hills, CA. Copy of notes provided.

April 24, 2013, speaker at the IP Counsel Café conference in Palo Alto, CA. Copy of notes provided.

April 26, 2013, speaker at World IP Day Silicon Valley celebration in San Jose, CA. Copy of notes provided.

May 1, 2013, speaker at event sponsored by the San Francisco Intellectual Property Law Association in San Francisco, CA. Copy of notes provided.

May 2, 2013, panelist at RPX's Spring Conference 2013 in San Francisco, CA. Copy of notes provided.

May 6, 2013, speaker at event sponsored by the Silicon Valley Intellectual Property Law Association in San Francisco Bay Area. Copy of notes provided.

May 8, 2013, speaker at event sponsored by the Patent and Training Resource Center in Sunnyvale, CA. Copy of notes provided.

May 8, 2013, speaker at event hosted by Drinker Biddle and NERA Economic Consulting in East Palo Alto, CA. Copy of notes provided.

June 21, 2013, panelist at Federal Circuit Bar Association's 15th Annual Bench & Bar Conference, Colorado Springs, CO. Copy of notes provided.

June 24, 2013, speaker at Association of Corporate Patent Counsel conference in Asheville, NC. Copy of notes provided.

July 9, 2013, panelist at SEMICON conference in San Francisco, CA. Copy of notes provided.

August 27, 2013, speaker at AIPLA 2013 Electronic & Computer Patent Law Summit in San Jose, CA. Copy of press report provided.

September 18, 2013, speaker at the Washington State Patent Law Association event in Seattle, WA. Copy of notes provided.

September 19, 2013, speaker at the Silicon Valley Leadership Group's Round Table meeting in Sunnyvale, CA. Copy of notes provided.

September 26, 2013, speaker at Knobbe Marten conference in Palo Alto, CA. Copy of notes provided.

September 27, 2013, panelist at the U.C. Davis School of Law's Conference on Patentable Subject Matter in Davis, CA. Copy of notes provided.

October 2, 2013, moderator of panel discussion at the ChIPs Women in IP Global Summit in Washington, D.C. Copy of notes provided.

October 8, 2013, panelist at the Silicon Flatirons Center's Conference in Boulder, CO.

Copy of notes provided.

October 17, 2013, speaker at the USPTO Software Partnership Roundtable in Berkeley, CA. Copy of notes provided.

October 25, 2013, speaker at the 2013 AIPLA Annual Meeting in Washington, D.C. Copy of notes provided.

November 2, 2013, speaker at the IP Law and Management Institute conference in San Diego, CA. Copy of remarks provided.

December 12, 2013, speaker at the 14th Annual Silicon Valley Advanced Patent Law Institute conference in Palo Alto, CA. Copy of notes provided.

January 30, 2014, speaker at AIPLA 2014 Mid-Winter Institute conference in Phoenix, AZ. Copy of notes provided.

February 20, 2014, speaker at White House Event on USPTO Executive Actions in Washington, D.C. Copy of notes provided.

February 24, 2014, speaker at roundtable hosted by Silicon Valley Leadership Group and White House Business Council in Santa Clara, CA. Discussed USPTO priorities, White House Executive Actions and patent legislation. Silicon Valley Leadership Group, 2001 Gateway Place, Suite 101E, San Jose, CA 95110.

February 24, 2014, speaker at roundtable discussion with Women's General Counsel Network Event in Palo Alto, CA on Silicon Valley satellite office updates, USPTO priorities and patent legislation. Attn.: Ms. Jan Kang (Women's General Counsel Network) Aoptix, 675 Campbell Technology Parkway, Campbell, CA 95008.

February 25, 2014, speaker at Startup/Venture Capital Breakfast in Menlo Park, CA, discussing Silicon Valley satellite office, Software Partnership, UPSTO priorities, White House Executive Actions and patent legislation. Andreessen Horowitz, 2865 Sand Hill Road, Suite 101, Menlo Park, CA.

February 25, 2014, panelist at "Incubator/Startup Community Dialogue" in San Francisco, CA. Copy of notes provided.

February 25, 2014, participant in roundtable hosted by Silicon Valley Leadership Group and White House Business Council in San Francisco, CA. Discussed USPTO priorities, White House Executive Actions and patent legislation. Silicon Valley Leadership Group, 2001 Gateway Place, Suite 101E, San Jose, CA 95110.

February 27, 2014, participant at White House Business Council National Stakeholder Call hosted by Business Forward in Washington, D.C. Copy of notes provided.

February 28, 2014, opening remarks at Trademark Public Advisory Committee meeting in Alexandria, VA. Copy of notes provided.

March 20, 2014, opening remarks at USPTO's public meeting of a multi-stakeholder forum on improving operation of DMCA's notice and takedown system in Alexandria, VA. Copy of notes provided.

March 25, 2014, speaker at Managing IP U.S. Patent Forum 2014 conference in Washington DC. Copy of notes provided.

March 25, 2014, speaker at IPO Education Foundation's 23rd PTO Day Conference in Washington D.C. Copy of notes provided.

March 26, 2014, opening remarks at ceremony honoring the "Presentation of the 700,000th Design Patent," at Langdon Education Campus, Washington DC. Copy of notes provided.

March 28, 2014, moderator of panel discussion at the Federal Circuit Bar Association and the New York Intellectual Property Law Association event in New York. Copy of notes and slides provided.

April 1, 2014, panelist at Bloomberg Government Conference in Washington D.C. Copy of notes provided.

April 1, 2014, opening remarks at United States Patent & Trademark Office's "First Inventor to File Anniversary Event" in Alexandria, VA. Copy of notes provided.

April 3, 2014, speaker at White House Business Council National Stakeholder Call (event hosted by Small Business Majority) in Washington, D.C. Copy of notes provided.

April 4, 2014, speaker at the ABA-IPL 29th IP Law Conference, VA. Copy of notes provided.

April 10, 2014, opening remarks at Crowdsourcing Roundtable event at USPTO in Alexandria, VA. Copy of notes provided.

April 24, 2014, speaker at 22nd Annual Intellectual Property Law & Policy Conference in New York, NY. Copy of notes provided.

April 25, 2014, speaker at World IP Day event in New York, NY. Copy of notes provided.

April 28, 2014, speaker at USPTO World IP Day event in Alexandria, VA. Copy of notes provided.

April 28, 2014, speaker at USPTO-AIPLA World IP Day event in Washington, D.C. Copy of notes provided.

May 1, 2014, participant in Council on Foreign Relations Corporate Program Conference Call in Washington, D.C. on the topic of: "Window on Washington: Priorities in U.S. Intellectual Property and Patent Policy." Council on Foreign Relations, 1777 F Street, N.W., Washington, D.C. 2006.

May 9, 2014, opening remarks at US Patent and Trademark Office in Alexandria, VA. Copy of notes provided.

May 21, 2014, speaker at Armed Forces Day/Memorial Day event at Alexandria National Cemetery in Alexandria, VA. Copy of notes provided.

May 21, 2014, opening remarks at National Inventors Hall of Fame Induction event in Alexandria, VA. Copy of notes provided.

May 22 2014, opening remarks at Patent Public Advisory Committee in Alexandria, VA. Copy of notes provided.

May 22, 2014, opening remarks at AIPLA Women in IP Law Networking Event in Alexandria. Copy of notes provided.

May 29, 2014, speaker at Software and Information Industry Association Luncheon event in Washington, D.C. Copy of notes provided.

June 25, 2014, speaker at BIO International Convention in San Diego, CA. Copy of notes provided.

June 26, 2014, speaker at event hosted by Stanford Law School's Program in Law, Science and Technology and the Juelsgaard IP and Innovation Clinic in Stanford, CA. Copy of notes and press article provided.

June 30, 2014, opening remarks for the USPTO Rocky Mountain Satellite Office in Denver, CO.

July 22, 2014, speaker at Software Partnership Meeting at U.S. Patent and Trademark Office in Alexandria, VA. Copy of notes provided.

August 14, 2014, opening remarks via video for the U.S. Patent and Trademark Office Patent Public Advisory Committee in Alexandria, VA. Copy of notes provided.

August 14, 2014, opening remarks for the Patents for Humanity conference in Santa

Clara, CA. Copy of notes provided.

September 10, 2014, remarks to intellectual property working group of the Joint Commission on Commerce in Alexandria, VA. Copy of notes provided.

September 12, 2014, opening remarks for the Virginia Ventures Forum in Alexandria, VA. Copy of notes provided.

September 12, 2014, fireside chat at the Asian Pacific American Bar Association of Washington, DC, Awards and Installation event in Washington, DC. Copy of notes provided.

September 22, 2014, remarks on building a better international patent system at U.S. mission in Geneva, Switzerland. Copy of video at https://m.youtube.com/watch?feature=youtu.be&v=35lPLeUq38E.

September 23, 2014, remarks to Group B+ Heads in Geneva, Switzerland. Copy of notes provided.

September 23, 2014, remarks at Innovation Dinner in Geneva, Switzerland. Copy of notes provided.

October 2, 2014, speech at ChIPs Intellectual Property Summit in Washington, DC. Copy of notes provided.

October 10, 2014, opening speech for Veteran recognition in Alexandria, VA. Copy of notes provided.

October 17, 2014, opening remarks for U.S. Patent and Trademark 2014 Trademark Expo in Alexandria, VA. Copy of notes provided.

October 23, 2014, opening remarks to the American Intellectual Property Law Association annual meeting in Washington, DC.

e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you.

To answer this question, I have searched my files and papers and conducted an electronic internet search for interviews and other related information and materials responsive to this question. Although I have sought to compile a list as complete as possible, there may be other interviews that I have been unable to remember or identify.

June 28, 2006, IPLaw 360. Copy provided.

Winter 2007, IP: Intellectual Property and Technology Law for the Pacific Rim. Copy provided.

March 2, 2009, CNET. Copy provided

August 22, 2011, The Recorder. Copy provided.

January 1, 2012, ABA Journal. Copy provided.

March 1, 2012, Silicon Valley Business Journal. Copy provided.

May/June 2012, Diversity & the Bar. Copy provided.

April 9, 2013, Silicon Valley Leadership Group. <a href="http://svlg.org/press/ceo-show">http://svlg.org/press/ceo-show</a> (audio file)

November 18, 2013, Bloomberg. Copy provided.

November 19, 2013, group interviews with various press, resulting in articles published by Bloomberg, San Jose Mercury News, IPLaw 360 and Innovate Design. Copies of articles provided.

November 25, 2013, Federal News Radio. Copy of audio file provided.

February 21, 2014, Federal News Radio. Copy article provided.

March 3, 2014, Federal News Radio. Copy of notes provided.

June 26, 2014, Law.com. Copy provided.

June 27, 2014, Bloomberg West. <a href="http://www.bloomberg.com/video/u-s-patent-office-s-lee-on-abusive-litigation-8g5mJjvNSI6xC3CCgPOvrg.html">http://www.bloomberg.com/video/u-s-patent-office-s-lee-on-abusive-litigation-8g5mJjvNSI6xC3CCgPOvrg.html</a> (video)

June 30, 2014, 5280 The Denver Magazine. Copy provided.

June 30, 2014, KDVR Fox 31 News. Copy provided.

June 30, 2014, The Denver Post. Copy provided.

July 1, 2014, KWGN News. https://www.youtube.com/watch?v=qdwMTz9ca5s (video)

September 24, 2014, group press interview with Washington Trade Daily, IP Watch, AFP, Associated Press, Yomiuri Shimbun, Jiji Press. One article published by IP Watch resulted from the group interview. Copy of resulting article provided.

#### 13. Public Office, Political Activities and Affiliations:

a. List chronologically any public offices you have held, other than judicial offices,

including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

Deputy Under Secretary of Commerce for Intellectual Property and Deputy Director, United States Patent and Trademark Office (USPTO)

Dates: 1/2014 - Present

Appointed to this position by President Obama.

Director of the Silicon Valley United States Patent and Trademark Office, USPTO

Dates: 11/2012 - 1/2014

Selected to serve in this position by the Under Secretary of Commerce for Intellectual Property and Director of the United States Patent & Trademark Office.

Member of the Patent Public Advisory Committee, United States Patent & Trademark Office

Dates: 4/8/2011 – 10/6/2011; Reappointed 11/22/2011 - 11/4/2012

Appointed to this position by the United States Secretary of Commerce.

I have not held or ran for any elective public office.

b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

I have not held any memberships in, nor office of, any political party or election committee. I have not held a position or played a role in a political campaign.

- 14. **Legal Career:** Answer each part separately.
  - a. Describe chronologically your law practice and legal experience after graduation from law school including:
    - i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

I served as a judicial law clerk for Judge Vaughn R. Walker, U.S. District Court for the Northern District of California from September 1992 to August 1993.

I served as a judicial law clerk for Judge Paul R. Michel, U.S. Court of Appeals for the Federal Circuit from September 1993 to August 1994.

ii. whether you practiced alone, and if so, the addresses and dates;

I have never practiced alone.

iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

Skjerven, Morrill, MacPherson, Franklin & Friel LLP, 25 Metro Drive, Suite 700, San Jose, CA 95110

Dates: 2 weeks in 8/1992

Affiliation: Summer Associate

Keker & Van Nest LLP, 633 Battery Street, San Francisco, CA 94111

Dates: 11/1994 – 7/1996

Affiliation: Associate

Fenwick & West LLP, Silicon Valley Center, 801 California Street, Mountain View, CA 94041

Dates: 10/1996 – 12/2003

Affiliation: Partner; prior to that, Associate

Google Inc., 1600 Amphitheatre Parkway, Mountain View, CA 94043

Dates: 12/2003 - 5/2012

Affiliation: Deputy General Counsel, Head of Patents and Patent Strategy; prior to that, Associate General Counsel, Head of Patents and Patent Strategy; prior to that, Senior Patent Counsel

U.S. Patent & Trademark Office, 345 Middlefield Road, Bldg. 1, Menlo Park, CA 94025

Dates: 11/2012 - 1/2014

Affiliation: Director of the Silicon Valley United States Patent &

Trademark Office

U.S. Patent & Trademark Office, 600 Dulany Street, Alexandria, VA 22314

Dates: 1/2014 - Present

Affiliation: Deputy Under Secretary of Commerce for Intellectual

Property and Deputy Director

iv. Whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant maters with which you were involved in that capacity.

I have never served as a mediator or arbitrator.

#### b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.
- 1. <u>During and Post-Law School</u>: During the second semester of my third year of law school, I worked part-time assisting in prosecuting patents at the law firm of Flehr, Hobach, Test, Albritton in Palo Alto, California. After graduating from law school, between taking the Bar Exam and starting my clerkship on the U.S. District Court for the Northern District of California, I worked at the law firm of Skjerven, Morrill, MacPherson, Franklin and Friel in San Jose, California, prosecuting patents.
- 2. <u>District Court Clerkship</u>: After law school, I spent one year (1992-1993) as a judicial law clerk to U.S. District Court Judge Vaughn R. Walker on the Northern District of California. As a law clerk, I worked on motions, attended case management conferences, assisted with trials and prepared drafts for two appellate opinions for cases for which the Judge sat by designation at the Ninth Circuit Court of Appeals. My work involved reading the briefs, conducting any necessary research, preparing memoranda (including recommended rulings), attending oral arguments, and assisting with the drafting of opinions according to the Judge's instructions. The substantive areas of law ran the gamut of areas for which the federal district courts have jurisdiction, though due to the Northern District of California's jurisdiction over the Silicon Valley, this Court received a fair amount of the patent and securities litigation at the time.

- 3. Federal Circuit Clerkship: From 1993-1994, I served as a judicial law clerk to U.S. Court of Appeals Judge Paul R. Michel of the Federal Circuit. As a law clerk, I worked on the full range of matters that came before the Federal Circuit including international trade, government contracts, patents, trademarks, certain money claims against the U.S. government, federal personnel, veterans' benefits, and public safety officers' benefits claims. My tasks involved reviewing the briefs, conducting any necessary research, preparing memoranda (including recommended rulings), attending oral arguments, and assisting with the drafting of opinions according to the Judge's instructions.
- 4. <u>Keker & Van Nest</u>: From 1994-1996, I worked at the law firm of Keker & Van Nest in San Francisco, California. My practice focused on general civil litigation. I worked on patent and trade secret, breach of contract and securities cases. As an associate, I helped research and draft motions, attended oral arguments, defended depositions, managed discovery and argued discovery disputes. Further details of some of the litigations I worked on at Keker & Van Nest are described in Question 15 below.
- 5. Fenwick & West: From 1996-2003, I worked at the law firm of Fenwick & West in Palo Alto, California. I joined as an associate in 1996 and was promoted to partner in 2001 in the intellectual property group. During my seven years at Fenwick, I worked on a variety of matters including structuring, negotiating and drafting over 300 licensing and intellectual property agreements, drafting, filing and prosecuting patent applications, advising on pre-litigation patent infringement matters, preparing opinions of patent non-infringement and invalidity, advising on the intellectual property aspects of mergers and acquisitions, counseling of intellectual property and trade secret matters generally, working on litigations and helping with a few government contracts transactions. Starting around 2000, I began to bring in my own clients, and would work with my colleagues at Fenwick & West on corporate and employment matters on behalf of my clients.
- 6. <u>Google</u>: I joined Google in 2003 as Senior Patent Counsel and was promoted to Assistant General Counsel in 2006 and Deputy General Counsel in 2009.

As Head of Patents and Patent Strategy, I built and led Google's patent team of approximately 70 professionals and managed a sizeable annual budget. In this role, I was responsible for formulating and implementing Google's first comprehensive patent strategy, including patent filings, licensing, acquisitions, pre-litigation disputes, policy and amicus strategy. I oversaw the work of my team members on appeals of matters to the Board of Patent Appeals and, if needed, to the Federal Circuit (e.g., rejected patent applications and re-

examination rulings). I oversaw and/or worked on the resolution of numerous pre-litigation and litigation (with the litigation team) patent disputes. Activities included infringement and invalidity analysis, formulating and implementing defense (including re-examination) and/or settlement strategies, helping prepare and review motions, and participating in hearings, mediations, settlement negotiations and mock trials. I also oversaw and/or worked on the filing of amicus briefs on patent issues before the Federal Circuit, International Trade Commission and Supreme Court, Further details are provided in Question 15 below regarding amicus activities.

- 7. <u>U.S. Patent and Trademark Office</u>: In 2012, the Under Secretary of Commerce for Intellectual Property and the Director of the USPTO selected me to serve as the first Director of the Silicon Valley U.S. Patent and Trademark Office. In this role, I was responsible for opening and overseeing the Silicon Valley satellite office, overseeing the USPTO outreach efforts for the Western United States, and assisting with various policy matters.
- 8. <u>U.S. Patent and Trademark Office</u>: In January 2014, President Obama appointed me to serve as the Deputy Under Secretary of Commerce for Intellectual Property and Deputy Director of the USPTO. I have served as the acting Director from the start of the appointment. In this role, I advise the President, through the Secretary of Commerce, and the Administration on domestic and certain intellectual property policy matters, and lead all aspects of an almost 12,000-person agency with a budget of over \$3 billion including operations, finance, legal, human resources, governmental and international affairs and communications.
  - ii. Your typical clients and the areas at each period of your legal career, if any in which you have specialized.
- 1. <u>During and Post-Law School</u>: The typical clients for whom I did work at Flehr, Hobach, Test, Albritton and Skjerven, Morrill, MacPherson, Franklin and Friel were individual inventors and technology companies.
- 2. <u>District Court Clerkship</u>: My client during my clerkship on the U.S. District Court for the Northern District of California was the Honorable Vaughn R. Walker.
- 3. <u>Federal Circuit Clerkship</u>: My client during my clerkship on the U.S. Court of Appeals for the Federal Circuit was the Honorable Paul R. Michel.
- 4. <u>Keker & Van Nest and Fenwick & West</u>: My typical clients at Keker & Van Nest and Fenwick & West included entrepreneurs, inventors, venture capitalists, and technical and business managers and corporations ranging in size from start-ups to

Fortune 500 companies.

- 5. Google: My client at Google was the company.
- 6. <u>U.S. Patent and Trademark Office -- Director of the Silicon Valley Office</u>: My clients were the users of the services of the United States Patent and Trademark Office.
- 7. <u>U.S. Patent and Trademark Office -- Deputy Under Secretary and Deputy Director</u>: My clients are the users of the services of the United States Patent and Trademark Office.
- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally or not at all. If the frequency of your appearances in court varied, describe such variance, providing dates.

The percentage of my practice that has been in litigation has varied from 100% during the first four years of my practice with the clerkships and at Keker & Van Nest, to about 10% at Fenwick & West, and about anywhere from 20-60% at Google. As Deputy Director of the USPTO, I spend about 10% of my time discussing litigation related matters with my legal team and reviewing amicus briefs for recommended positions for the U.S. government.

During my two clerkships, I was frequently in the courtroom, though as an observer. As a litigator at Keker & Van Nest, I argued matters before the courts and attended hearings for cases that I worked on, but for which I did not argue. As in-house counsel at Google, I attended court proceedings for certain cases, but did not present in the court.

- i. indicate the percentage of your practice in:
  - 1. Federal courts: 94%
  - 2. State courts of record: 3%
  - 3. Other courts: 0%
  - 4. Administrative agencies: 3% (ITC)
- ii. Indicate the percentage of your practice in:
  - 5. Civil proceedings: 97%
  - 6. Criminal proceedings: 3%
- d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel.

I have not personally tried any case to verdict, judgment or final decision. At

Google, I worked in a supervisory role with patent counsel on my team, outside counsel and the litigation team on cases that were tried to verdict, judgment or final decision. Also, while serving as a law clerk at the district court, I assisted Judge Walker with several trials tried to verdict, judgment or final decision.

i. What percentage of these trials were:

1. Jury: 100%

2. Non-jury: 0%

e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any oral argument transcripts before the Supreme Court in connection with your practice.

I have directed and contributed to the filing of several amicus briefs before the Supreme Court of the United States on behalf of Google. Copies of briefs have been provided. In many of these cases, I worked with outside counsel, Google's in-house patent attorney on my team and/or Google's in-house litigation attorney to formulate the positions, review and edit the brief, and approve the brief for filing. In others of these cases, I reviewed amicus briefs or outlines of briefs prepared by other companies and decided whether Google should join the brief. Even in the latter instance, my role would involve providing strategic direction, comments and/or edits to the briefs filed.

- 15. <u>Litigation</u>: Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the case. Also state as to each case:
  - a. The date of representation;
  - b. The name of the court and the name of the judge or judges before whom the case was litigated; and
  - c. The individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.

After reasonable investigation, the below is my best attempt to provide the information requested.

1. <u>Skyline Software Systems, Inc. v. Keyhole Corporation</u>, Case No. 1:04-cv-11129-DPW (later consolidated with <u>Skyline Software Systems, Inc. v. Google Inc.</u>, under Case No. 06-10980 DPW), 421 F. Supp. 2d 371; 2006 U.S. Dist. LEXIS 12546; Judge Douglas P. Woodlock of the U.S. District Court for the District of Massachusetts presided.

The original case was filed on May 28, 2004. In both matters, plaintiff Skyline asserted infringement of U.S. Patent No. 6,496,189 ('189 patent) under direct, inducement and contributory infringement theories, and sought preliminary and permanent injunctive relief and damages. At the time the original complaint was filed, defendant Keyhole had not yet been acquired by Google. The initially accused products were thus all Keyhole products. Plaintiff later added Google as a defendant and accused the Google Earth product of infringing the same '189 patent. I was a key in-house attorney on this case for Google. Before Google acquired Keyhole, I analyzed the case. After acquisition, I worked with in-house litigation team members and outside counsel at Fenwick & West on all aspects of this case including formulating strategy, providing input on and review of most substantive pleadings (including the summary judgment for claim construction, the opposition to motion for preliminary injunction and the motions for summary judgment on non-infringement and invalidity), preparing outside counsel for oral argument, assisting with the Federal Circuit ordered mediation and ultimately settling the case. I attended all significant court hearings to observe and provide input to outside counsel. In this case, Google successfully opposed a motion for preliminary injunctive relief and won the case-dispositive motion for summary judgment on non-infringement. Plaintiffs appealed the case to the Federal Circuit. The parties entered courtordered mediation before a Federal Circuit mediator, and the case settled during the pendency of the appeal before any oral argument or decision. The district court civil case was terminated on November 27, 2006.

Party represented: Google Inc.

Co-counsel: Darryl M. Woo, Fenwick & West LLP, 555 California Street 12th Floor, San Francisco, CA 94104. (415) 875-2300.

Opposing counsel: H. Joseph Hameline, Mintz, Levin, Cohn, Ferris, Glovsky & Popeo, PC, One Financial Center, Boston, MA 02111. (617) 542-6000.

Cites: Claim Construction Memorandum and Order - Skyline Software Systems, Inc. v. Keyhole, Inc., 421 F. Supp.2d 371 (D. Mass. 2006); Summary Judgment Memorandum and Order - Skyline Software Systems, Inc. v. Keyhole, Inc. and Google Inc., 2007 U.S. Dist. Lexis, 16053, 83 U.S.P.Q.2d 1048 (D. Mass. 2007).

2. Overture Services, Inc. v. Google Inc., Case No. 3:02-cv-01991-JSW, Judge Jeffrey S. White of the U.S. District Court for the Northern District of California presided.

In this case, Overture Services alleged Google infringed its U.S. Patent No. 6,269,361 titled "System and Method for Influencing a Position on a Search Result List Generated by a Computer Network Search Engine." The complaint was filed on April 23, 2002. I joined Google on December 1, 2003 and immediately began work on the claim construction portion of the case. My role involved working with our outside counsel and our in-house litigator on strategy, review of briefs and motions papers and preparation of outside counsel for oral argument. I assisted with the formulation of Google's claim construction positions and the preparation of Google's motion for summary judgment on claim construction. I attended the summary judgment hearing. The case ultimately settled in August 2004. I played a key role in the negotiation and drafting of the settlement agreement which involved a license, dismissal of the patent lawsuit and resolution of a separate contractual dispute.

Party represented: Google Inc.

Outside counsel to Google: Daralyn Durie, (formerly with Keker & Van Nest, then with Durie Tangri LLP) Durie Tangri LLP, 217 Leidesdorff Street, San Francisco, CA 94111. 415-376-6401.

Outside counsel to Overture: Robert D. Fram and Robert T. Haslam, Covington & Burling LLP, 333 Twin Dolphin Drive Suite 700, Redwood Shores, CA 94065. (650) 632-4702.

In-house counsel to Overture: Jeanine Hayes and Michael Callahan, Yahoo!, 701 First Ave. Sunnyvale, CA 94089-1019. (408) 349-2160. (After commencement of the lawsuit, Yahoo! acquired Overture and oversaw the litigation. Neither Ms. Hayes nor Mr. Callahan are at Yahoo! Ms. Hayes may be reached at <u>Jeanine.hayes@nike.com</u>.)

3. <u>Netjumper Software LLC v. Google Inc.</u>, Case No. 2:04-cv-70366-JAC-RSW, Assigned to Judge Julian Abele Cook of the U.S. District Court for the Eastern District of Michigan (Detroit), referred to Magistrate Judge R. Stephen Whalen.

On February 2, 2004, NetJumper filed a complaint against Google for infringement of two patents, U.S. Patent Nos. 5,890,172 and 6,226,655B1, related to interface features used when browsing the Internet with a Web browser. Google counterclaimed seeking a declaration of non-infringement, invalidity, and inequitable conduct under both patents. In August 2005, Google filed a motion for summary judgment of non-infringement and invalidity of the '172 patent and later a claim construction brief setting forth its claim construction positions. The Court denied the motion for summary judgment of non-infringement based on a single claim construction ruling and, as to invalidity, the Court believed there were disputed fact issues. In March 29, 2008, Judge Cook issued a subsequent claim construction order dealing with the remaining terms in dispute. Google prevailed on each one. The parties went through two mediations. In October 2007, the United States Patent & Trademark Office (USPTO) placed the '172 patent into re-examination based on nine different prior art references, having found that each raised substantial new questions of patentability of the claims. Google filed a motion

to stay the case pending a decision on the re-examination. The Court granted the stay, and administratively closed the district court case, but invited the parties to re-open proceedings after the USPTO completed its re-examination. On July 6, 2011, the USPTO finally rejected all claims in the '172 patent. Plaintiff/Patent Owner Netjumper appealed the rejection to the Board of Patent Appeals and Interferences, and the Board reversed. Plaintiff re-opened the case in the same district court on April 5, 2012. Since then, I have not been involved with the case, but the case continues.

I worked with outside counsel at Fish & Richardson and in-house litigation counsel on all aspects of this case including formulating strategy, providing input on and review of most substantive pleadings (including the motion for summary judgment on non-infringement and invalidity, the claim construction brief and the motion to stay), preparing for oral argument, assisting with the preparation of the re-examination, participating and leading much of the negotiations in the first of the two mediations and monitoring the appeal of the rejection of the '172 patent in re-examination to the Board of Patent Appeals and Interferences. I attended most of the key court hearings to observe, to provide input to outside counsel and to keep Google's senior management apprised of key developments in this case.

Party represented: Google Inc.

Co-counsel: Frank E. Scherkenbach, Fish & Richardson P.C., 225 Franklin Street, Boston, MA 02110-2804. (617) 521-7883, and Jason W. Wolff, Fish & Richardson P.C., 12390 El Camino Real, San Diego, CA 92130-2081. (858) 678-4719.

Opposing counsel: Andrew Kochanowski, Sommers, Schwartz, Silver & Schwartz P.C., 2000 Town Center, Suite 900, Southfield, MI 48075-1100. (248) 355-0300.

Cites: 2006 U.S. Dist. LEXIS 21808, decided on March 29, 2006 (Court's denial of Google's motion for summary judgment); 2008 U.S. Dist. LEXIS 25842, decided on March 29, 2008 (Court's claim construction order); 2008 U.S. Dist. LEXIS 54975, decided on July 15, 2008 (Court's grant of Google's motion to stay proceedings pending reexamination of the '172 patent).

4. <u>Target Therapeutics</u>, et al. v. Scimed Life Systems and Cordis Endovascular Systems., Case No. 4:96-cv-02837-DLJ, Judge D. Lowell Jensen of the U.S. District Court for the Northern District of California presided, previously before Judges Ronald M. Whyte and Robert P. Aguilar.

This case involved an allegation of patent infringement by Target Therapeutics, Inc. against Scimed Life Systems and Cordis Endovascular Systems. The case was filed on November 9, 1994. I worked on the case as an associate on the team representing defendant Cordis Endovascular Systems from the receipt of the complaint until my departure from Keker

& Van Nest in July 1996. During this period, I assisted with the preparation and filing of the answer, a request for reassignment for the disposition and trial of the case from a magistrate judge to a district court judge, a motion for a stay pending reexamination of the patent and a status report to the Court. The Court granted Cordis Endovascular's motion for stay pending reexamination for a period of time. After the stay lifted, I assisted with a motion to file a supplemental answer and counter-claims, an opposition to a motion for preliminary injunction, a motion to dismiss or sever claims for misjoinder, a case management statement and a motion for summary judgment of non-infringement. In addition, I assisted with discovery matters. On May 2, 1996, the Court denied Cordis Endovascular's summary adjudication of non-infringement and invalidity, denied the motion for leave to file supplemental answer and counterclaims and granted plaintiff's motion for preliminary injunction. On May 10, 1996, Cordis Endovascular appealed the case to the Federal Circuit and filed a motion to stay pending appeal. On May 23, 1996, the Court denied the motion to stay. The parties ultimately settled the litigation, and the case was dismissed with prejudice on February 6, 1998.

Parties represented: Cordis Endovascular Systems

#### Co-counsel:

Cordis Endovascular Systems: Brian L. Ferrall and John W. Keker, Keker & Van Nest LLP, 710 Sansome Street, San Francisco, CA 94111-1704. (415) 391-5400.

Scimed Life Systems: David Eiseman, Quinn Emanuel Urquhart & Sullivan, 50 California Street 22nd Floor, San Francisco, CA 94111. (415) 875-6600.

#### Opposing counsel:

Target Therapeutics: Harold J. McElhinny, Morrison & Foerster LLP, 425 Market St, San Francisco, CA 94105-2482. (415) 268-7000.

Cites: 1995 U.S. Dist LEXIS 22517; 1996 U.S. Dist LEXIS 22994.

5. <u>Action Technologies, Inc. v. Novell Systems, Inc.</u>, Case No. 3:95-cv-04093-VRW, Judge Vaughn R. Walker of the U.S. District Court for the Northern District of California presided.

This case involved an allegation of patent infringement by Action Technologies, Inc. against Novell Systems, Inc. The case was filed on November 16, 1995. I worked on the case as the lead associate on the team representing plaintiff and counter-defendant Action Technologies from the preparation of the complaint until my departure from Keker & Van Nest in July 1996. During this period, I assisted with the pre-litigation infringement and validity analysis, the preparation and filing of the complaint, the case management statement, the opposition to a motion to transfer, the answer to counterclaims and a motion for summary judgment on claim construction and a counter-motion for summary judgment on infringement. I attended the case management conference and a motion to compel hearing. On December 3,

1996, the Court granted Action Technologies' counter-motion for summary judgment on infringement. On February 21, 1997, defendant Novell filed a motion for summary judgment of invalidity, which the Court granted. The case was appealed to the U.S. Court of Appeals for the Federal Circuit, and the district court's ruling was affirmed.

Parties represented: Action Technologies, Inc.

Co-counsel: Henry C. Bunsow, Dewey & Leboueuf LLP, One Embarcadero Center, Suite 400, San Francisco, CA 94111. (415) 951-1110.

Opposing counsel: Laurie S. Hane, Morrison & Foerster LLP, 425 Market St, San Francisco, CA 94105-2482. (415) 268-7000.

Cites: 1996 U.S. Dist. LEXIS 22589; 1997 U.S. Dist. LEXIS 8374.

6. <u>Compression Labs, Inc. v. Acer America Corporation et al.</u>, Case No. 2:04-cv-00294-DF, Judge David Folsom of the U.S. District Court for the Eastern District of Texas presided. Case subsequently transferred to Judge Jeremy Fogel of the U.S. District Court for the Northern District of California, Case No. 5:05-cv-00925-JF.

On August 5, 2004, Compression Labs filed a complaint in the Eastern District of Texas against eleven defendants (including Google) alleging infringement of its U.S. Patent No. 4,698,672 titled "Coding System for Reducing Redundancy." (Case No. 2:04-cy-00294-DF). On September 17, 2004, Google filed a declaratory judgment action in the Northern District of California alleging non-infringement, invalidity and unenforceability of the patent due to inequitable conduct (Case No. 5:2004-cv-03934). Later Google opposed and moved to dismiss or, in the alternative, to transfer the case to the Eastern District of Texas. On February 28, 2005, the two cases were ultimately consolidated in the Northern District of California pursuant to an order from the judicial panel on multi-district litigation transferring the Eastern District of Texas litigation (Case No. 2:04-cv-00294-DF) to the Northern District of California (to thennewly assigned Case No. 5:05-cv-00925-JF). Shortly thereafter, the parties settled the dispute. With outside and in-house litigation counsel, I helped formulate the strategy to get the case transferred to the Northern District of California and provided input on the drafting of the motion for declaratory relief and motion to transfer. When the parties decided to settle, I drafted and negotiated the settlement agreement for and on behalf of Google. The case was dismissed on June 5, 2007.

Party represented: Google Inc.

#### Co-counsel:

For Google, Daralyn J. Durie, Durie Tangri, LLP, 217 Leidesdorff Street, San Francisco, CA 94111. (415) 391-5400.

For Acer America, Paul E Krieger, Morgan Lewis & Bockius, 1000 Louisiana Street, Suite 4000, Houston, TX 77002. (713) 890-5000.

For Audio Vox, BancTec, BenQ America, Color Dreams and Yahoo!, Sun Microsystems, Brian K Buss, Williams Morgan & Amerson P.C., 10333 Richmond, Suite 1100, Houston, TX 77042, (713) 934-4087, and David B Weaver, Vinson & Elkins, 2801 Via Fortuna, Suite 100, Austin, TX 78746. (512) 542-8651.

For ScanSoft, Marvin Craig Tyler, Wilson Sonsini Goodrich & Rosati P.C., 900 South Capital of Texas Highway, Las Cimas IV, Fifth Floor, Austin, TX 78746-5546. (512) 338-5410.

For Audiovox Electronics, Eric Miller Albritton, Albritton Law Firm, PO Box 2649, 111 West Tyler, 75601, Longview, TX 75606. (903) 757-8449.

For Tivo, Adam S Hoffman, Russ August & Kabat, 12424 Wilshire Boulevard, Suite 1200, Los Angeles, CA 90025. (310) 826-7474.

Opposing counsel: Stephen G Rudisill, Nixon Peabody LLP, 300 S Riverside Plaza, 16th Floor, Chicago, IL 60606. (312) 425-3900.

7. <u>Function Media, LLC v. Google Inc.</u>, Case No. 2:07-cv-00279-CE, Magistrate Judge Charles Everingham of the U.S. District Court for the Eastern District of Texas (Marshall) presided, later assigned to Judge Roy S. Payne.

On July 3, 2007, Function Media sued Google for patent infringement alleging that Google's AdSense violated several of its patents related to matching advertisements to publishers and automatically adjusting the ads for different publishers' ads formats. This was a large and complicated case involving four patents and over 300 allegedly infringed claims. The parties filed moving or opposing motions for summary judgment for non-infringement, invalidity and inequitable conduct. Through numerous pre-trial motions, the 300+ claims were whittled down to 9 for trial. In January 2010, a jury in the Eastern District of Texas found Google infringed no valid claim of the 9 remaining claims. Function Media then requested a new trial and judgment as a matter of law on several grounds. On September 9, 2011, the Court ruled that Google did not infringe any asserted claim and dismissed the case with prejudice. Thereafter I left Google, but the case went on appeal to the U.S. Court of Appeals for the Federal Circuit, which affirmed the district court's judgment of invalidity and non-infringement on February 13, 2013.

Approximately a year after the case was filed, Google submitted inter-partes reexaminations on all four of the originally-asserted patents. The United States Patent and Trademark Office finally rejected all asserted claims, and as of July 2011, all four patents stood rejected on appeal before the Board of Patent Appeals and Interferences. Function Media, the patent owner, appealed the Board of Patent Appeals and Interferences' decision rejecting the

patent claims during inter-partes reexamination. Thereafter, I left Google, but the Court of Appeals for the Federal Circuit ultimately affirmed-in-part, reversed-in-part and remanded.

My role on this case consisted of an assessment of the allegations when it was filed, monitoring its progress, reviewing certain key pleadings and supervising patent counsel working on the case who assisted primarily with the invalidity part of the case through trial, appeal and the re-examination.

Party represented: Google Inc.

Co-counsel: Jason W. Wolff, Fish & Richardson P.C., 12390 El Camino Real, San Diego, CA 92130. (858) 678-4719, and Charles K. Verhoeven, Quinn Emanuel Urquhart & Sullivan LLP, 50 California Street, 22nd Floor, San Francisco, CA 94111. (415) 875-6600.

Opposing counsel: Max Lalon Tribble, Jr., Susman Godfrey LLP, 1000 Louisiana Street, Ste. 5100, Houston, TX 77002-5096. (713) 651-9366.

Cites: 2009 U.S. Dist. LEXIS 94340; 2010 U.S. Dist. LEXIS 3273; 2010 U.S. Dist. LEXIS 3275; 2010 U.S. Dist. LEXIS 3276; 2011 U.S. Dist. LEXIS 101998; 708 F.3d 1310 (Fed. Cir., Mar. 7. 2013).

8. <u>Intertainer, Inc. v. Apple Computer, Inc. et al.</u>, Case No. 2:06-cv-00549-CE, Magistrate Judge Charles Everingham of the U.S. District Court for the Eastern District of Texas (Marshall) presiding, later assigned to Judge Roy S. Payne.

On December 29, 2006, Intertainer filed a patent infringement lawsuit against multiple defendants including Google alleging infringement of U.S. Patent No. 6,925,469. The '469 patent generally describes an online media hosting service for connecting providers with users. Google answered and counterclaimed alleging non-infringement, invalidity and/or uneforceability. Google also filed an inter-partes re-examination on the patent. The district court stayed the proceedings pending completion of the re-examination.

On March 20, 2009, the U.S. Patent and Trademark Office's (USPTO) Central Reexamination Unit issued a final office action rejecting all claims (including amended claims) on multiple grounds. On May 2, 2011, patent owner Intertainer filed an appeal brief with the USPTO's Board of Patent Appeals and Interferences, and Google filed a responsive brief on June 1, 2011. The appeal was pending, and thereafter I left Google.

My role on this case consisted of helping to formulate the strategy for the case especially when the complaint was first received, reviewing the petition for re-examination, monitoring the progress of the case and supervising patent counsel working on the case.

Party represented: Google Inc.

Co-counsel: David A. Perlson, Quinn Emanuel Urquhart & Sullivan LLP, 50 California Street,

22nd Floor, San Francisco, CA 94111. (415) 875-6600.

Opposing counsel: Danny Lloyd Williams, Williams Morgan & Amerson, 10333 Richmond, Suite 1100, Houston, TX 77042. (713) 934-4060.

9. I have directed and contributed to the preparation of a number of amicus briefs on intellectual property matters before the Supreme Court of the United States, as well as the U.S. Court of Appeals for the Federal Circuit and the U.S. International Trade Commission. Copies of briefs have been provided. In many of these cases, I worked with outside counsel, Google's in-house patent attorney on my team and/or Google's in-house litigation attorney to formulate the positions, review and edit the brief and approve the brief for filing. In others of these cases, I reviewed amicus briefs or outlines of briefs prepared by other companies and decided whether Google should join the brief. Even in the latter instance, my role would often involve providing strategic direction, comments and/or edits to the briefs filed.

In addition, as a board member of the Federal Circuit Bar Association, one of my responsibilities was to review the recommendations of the amicus subcommittee and decide (with the other board members) what positions the Federal Circuit Bar Association should take on amicus briefs. The issues that came before the board covered the gamut of the Federal Circuit's jurisdiction including government contracts, Merit Systems and Protection Board, International Trade Commission, tax refund appeals as well as patent and trademark related appeals.

- 10. Finally, as a law clerk on the U.S. District Court for the Northern District of California and on the U.S. Court of Appeals for the Federal Circuit, I worked on procedural and substantive aspects of many litigations.
- 16. <u>Legal Activities</u>: Describe the most significant legal activities you have pursued, including significant litigation which did not progress to trial or legal matters that did not involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organization(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege).
  - a. Since January of 2014, I have had the honor of serving as the Deputy Director (and acting Director) of the USPTO. In this role, I've had the privilege of:
  - leading an agency of almost 12,000 employees, working together to achieve the USPTO's goal of the promotion and protection of American innovation,
  - representing the U.S. government on intellectual property matters in the international area, for example, as the head of the U.S. delegation at the IP5 Summit, an annual

gathering of the top 5 patent offices worldwide (Europe, Japan, Korea, China and the United States) to streamline the patent application process for applicants who file in multiple jurisdictions,

- working with a wide cross-section of stakeholders, members of Congress and colleagues in other federal agencies in an attempt to further improve our already world-class intellectual property system, and
- advising the Administration on domestic and certain international intellectual property policy matters.

b. I served as the first Director of the Silicon Valley United States Patent & Trademark Office. For the first time in our country's history, the USPTO had offices outside the Washington, D.C. area. This created tremendous opportunities to better serve the local innovation communities across the country and to leverage these satellite offices to help achieve the mission of the USPTO. The goal of the Office is that it serve as a hub of innovation, education and outreach. As the first Director of the Silicon Valley Office, I defined and articulated the vision for the office and led the implementation of the strategy to promote the mission of the office and the USPTO.

- c. At Google, I oversaw the building of the company's patent portfolio from approximately several handfuls of patents to over approximately 10,500 domestic and foreign patents. In addition, I led its efforts to purchase one of the largest patent portfolios involving about 6,100 patents offered by the Canadian company, Nortel Networks, in a bankruptcy auction, which sold to another for \$4.5 billion. This transaction posed innumerable legal complexities given the number of assets and the intellectual property, bankruptcy, competition and foreign law issues involved.
- 17. <u>Teaching</u>: What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

I served as a teaching assistant at MIT for a course titled "Structure and Interpretation of Computer Programs" during the Spring semester of 1988.

http://ocw.mit.edu/courses/electrical-engineering-and-computer-science/6-001-structure-and-interpretation-of-computer-programs-spring-2005/syllabus/

18. <u>Deferred Income/Future Benefits</u>: List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services, firm memberships, former employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business

interest.

- a. Thrift Savings Plan with a value of \$50,499.
- b. Google 401(k) Savings Plan managed by the Vanguard Group with a value of \$608,966. Neither I nor Google have contributed funds to this account since I left the company. At some point, I will withdraw the funds.
- 19. <u>Outside Commitments During Service:</u> Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service? If so, explain.

No.

20. <u>Sources of Income</u>: List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

I have submitted an OGE Form 278, and am willing to submit the financial disclosure report described above when and if needed.

21. <u>Statement of Net Worth</u>: Please complete the attached financial net worth statement in detail (add schedules as called for).

The completed net worth statement is included at the end of this submission.

## 22. Potential Conflicts of Interest:

a. Identify the family members or other persons, parties, categories of litigation, and financial arrangements that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

I am not currently aware of any potential conflicts of interest. In connection with the nomination process and thereafter, I have and will continue to consult with the Office of Government Ethics and the Department of Commerce's designated agency ethics official to identify potential conflicts of interest and to resolve any actual conflicts of interest.

b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

I will continue to consult with the Department of Commerce ethics officials to ensure compliance with all ethics rules.

- 23. **Pro Bono Work**: An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional workload, to find some time to participate in serving the disadvantaged." Describe what you have done to fulfill these responsibilities, listing specific instance and the amount of time devoted to each. If you are not an attorney, please use this opportunity to report significant charitable and volunteer work you may have done.
- a. I served as a board member (and the governance committee) of the Asian Pacific Fund from approximately 2010 until just before moving to the Washington, DC, area at the end of 2013 to accept my current position. The Asian Pacific Fund provides grants and services to nonprofit organizations that serve the most vulnerable Asians throughout the San Francisco Bay Area. Asians and Pacific Islanders constitute over 26 percent of the Bay Area population, yet less than one percent of the foundation funding goes to API-serving organizations. One in three Asians in the Bay Area speaks little or no English, making accessing basic services difficult. The Asian Pacific Fund supports over 70 organizations who serve APIs in their own languages.
- b. I am also a co-founder and board member of ChIPs (Chief Women IP Counsels). The mission of ChIPs is to support, mentor and retain women in the technology and intellectual property fields given their historic under-representation in these fields. Throughout the year, ChIPs organizes a number of events across the country that support this mission. I have been involved with ChIPs since its founding in 2004.
- c. Throughout my career, I have provided mentoring to minority attorneys to help them navigate their professional careers.

# <u>AFFIDAVIT</u>

l, <u>Michelle K. Lee</u> best of my knowledge, true and a	, do swear that the information provided in this statement is, to the ccurate.
October 28, 2014	Michelle U. Lee
[DATE]	[NAME]
City of Ah	exandria Macin & W. Fletcher [NOTARY]