

## TRADEMARK ASSIGNMENT COVER SHEET

Electronic Version v1.1  
Stylesheet Version v1.2

ETAS ID: TM501749

<b>SUBMISSION TYPE:</b>	NEW ASSIGNMENT		
<b>NATURE OF CONVEYANCE:</b>	Assignment of IP Security Agreement		
<b>CONVEYING PARTY DATA</b>			
<b>Name</b>	<b>Formerly</b>	<b>Execution Date</b>	<b>Entity Type</b>
GLO AB		01/09/2018	Corporation: SWEDEN
<b>RECEIVING PARTY DATA</b>			
<b>Name:</b>	Hercules Capital, Inc., as administrative agent		
<b>Street Address:</b>	400 Hamilton Avenue, Suite 310		
<b>City:</b>	Palo Alto		
<b>State/Country:</b>	CALIFORNIA		
<b>Postal Code:</b>	94301		
<b>Entity Type:</b>	Corporation: MARYLAND		
<b>PROPERTY NUMBERS Total: 5</b>			
<b>Property Type</b>	<b>Number</b>	<b>Word Mark</b>	
<b>Serial Number:</b>	85676659	GLO	
<b>Serial Number:</b>	85676695	GLO	
<b>Serial Number:</b>	85789382	NLED	
<b>Serial Number:</b>	86042731	IBLU	
<b>Serial Number:</b>	77459538	GLO	
<b>CORRESPONDENCE DATA</b>			
<b>Fax Number:</b>	6504739194		
<i>Correspondence will be sent to the e-mail address first; if that is unsuccessful, it will be sent using a fax number, if provided; if that is unsuccessful, it will be sent via US Mail.</i>			
<b>Phone:</b>	6502893071		
<b>Email:</b>	legal@htgc.com		
<b>Correspondent Name:</b>	Hercules Capital, Inc.		
<b>Address Line 1:</b>	400 Hamilton Avenue, Suite 310		
<b>Address Line 4:</b>	Palo Alto, CALIFORNIA 94301		
<b>NAME OF SUBMITTER:</b>	Maritess Escalante		
<b>SIGNATURE:</b>	/Maritess Escalante/		
<b>DATE SIGNED:</b>	12/12/2018		
<b>Total Attachments: 15</b>			
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**GRANT OF TRADEMARK SECURITY INTEREST**

THIS GRANT OF TRADEMARK SECURITY INTEREST (this "Grant"), dated January 9, 2018 is by and between, GLO AB, a corporation organized under the laws of Sweden ("Grantor"), and Hercules Capital, Inc., formerly known as Hercules Technology Growth Capital, Inc., a Maryland corporation, not in its individual capacity but solely as administrative agent for itself and Lender (as hereinafter defined) (in such capacity "Agent"). Each capitalized term utilized in this Grant that is not defined in the Loan Agreement (as hereinafter defined) or this Grant, but is defined in the UCC, shall have the meaning set forth in Article 1, 8 or 9 of the UCC, as applicable.

WHEREAS, Grantor owns and uses in its business, and will, in the future adopt and so use, various intangible assets, including the Trademark Collateral (as defined below);

WHEREAS, Grantor, the subsidiaries of Grantor from time to time party thereto that have delivered a Joinder Agreement, the several banks and other financial institutions or entities from time to time parties thereto (collectively, referred to as "Lender") and Agent have entered into that certain Loan and Security Agreement, dated as of even date herewith (as amended, restated, modified or supplemented from time to time, the "Loan Agreement"), pursuant to which Lender has extended certain financial accommodations to Grantor; and

WHEREAS, pursuant to the terms of that certain Loan Agreement, Grantor has granted to Agent a security interest in, and Agent has become a secured creditor with respect to, the Collateral specified therein, including the Trademark Collateral.

NOW, THEREFORE, for good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, subject to the terms and conditions of the Loan Agreement, to evidence further the security interest granted by Grantor to Agent pursuant to the Loan Agreement, Grantor hereby grants to Agent a security interest in all of Grantor's right, title and interest in and to the following, in each case, whether now or hereafter existing or whether now owned or hereafter acquired and wherever the same may be located (the "Trademark Collateral"):

(i) all trademarks, service marks, designs, logos, indicia, trade names, trade dress, corporate names, company names, business names, fictitious business names, trade styles and/or other source and/or business identifiers and applications pertaining thereto, owned by Grantor, or hereafter adopted and used, in its business (including, without limitation, the trademarks set forth on Schedule A annexed hereto) (collectively, the "Trademarks"), all registrations that have been or may hereafter be issued or applied for thereon in the United States of America ("United States") and any state thereof and in foreign countries (including, without limitation, the registrations and applications set forth on Schedule A annexed hereto), all common law and other rights (but in no event any of the obligations) in and to the Trademarks in the United States and any state thereof and in foreign countries, and all goodwill of Grantor's business connected with the use of and symbolized by the Trademarks;

(ii) all rights under or interest in any trademark license agreements with any other party, whether Grantor is a licensee or licensor under any such license agreement (to the extent permitted thereunder), including, without limitation, those license agreements listed on Schedule A attached hereto (all of the foregoing are hereinafter referred to collectively as the "Trademark Licenses"); and

(iii) all Proceeds and Accessions with respect to any of the foregoing.

Notwithstanding anything herein to the contrary, in no event shall the "Trademark Collateral" include, and Grantor shall not be deemed to have granted a security interest in any of Grantor's rights in or under any United States intent-to-use trademark or service mark application to the extent that, and solely during the period prior to the filing of evidence of use of such trademark or service mark, the grant of a security interest therein would invalidate such intent-to-use trademark or service mark application under Federal law.

If, before the Secured Obligations shall have been paid in full, Grantor shall obtain rights to any new Trademarks or Trademark Licenses, the provisions of this Grant shall automatically apply thereto. Grantor authorizes Agent to modify this Grant by amending Schedule A attached hereto to reflect any updates to the Trademark Collateral.

Grantor does hereby further acknowledge and affirm that this Grant is made in connection with, and subject to the terms of, the Loan Agreement and that the rights and remedies of Agent with respect to the security interest in the Trademark Collateral granted hereby are more fully set forth in the Loan Agreement, the terms and provisions of which are incorporated by reference herein as if fully set forth herein, including, without limitation, sections 11.8, 11.9 and 11.10. In the event of an irreconcilable conflict between the terms of this Grant and the terms of the Loan Agreement, the Loan Agreement shall control.

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IN WITNESS WHEREOF, this Grant has been duly executed on the day and year specified at the beginning hereof.

**GRANTOR:**

**GLO AB,**

a corporation organized under the laws of  
Sweden

Signature:



Print Name:

James V. McGinnis

Title:

CFO

*Grant of Trademark Security Interest*

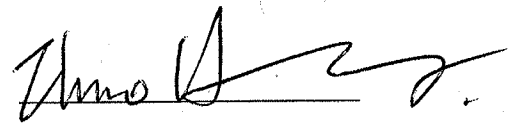
**TRADEMARK  
REEL: 006550 FRAME: 0089**

ACKNOWLEDGED AND AGREED:

AGENT:

**HERCULES CAPITAL, INC.**, a Maryland  
corporation

Signature:



Print Name: Zhuo Huang

Title: Associate General Counsel

*Grant of Trademark Security Interest*

**TRADEMARK**  
**REEL: 006550 FRAME: 0090**

ACKNOWLEDGED AND AGREED:

**AGENT:**

**HERCULES CAPITAL, INC.**, a Maryland  
corporation

Signature: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

*Grant of Trademark Security Interest*

**TRADEMARK**  
**REEL: 006550 FRAME: 0091**

**SCHEDULE A  
TO  
GRANT OF TRADEMARK SECURITY INTEREST**

[See attached.]



**GLO AB**  
**TRADEMARK STATUS REPORT**  
**December 22, 2017**

**U.S. MARKS**

Our File No.: 9308-001T  
Mark: **GLO**  
Owner: GLO AB  
Class: 9  
Filing Date: July 13, 2012  
Date of 1<sup>st</sup> Use: March 10, 2015  
Serial No.: 85/676,659  
Registration No.: 4,749,774  
Date of Registration: June 2, 2015  
Register: Supplemental  
Identification of Goods/Services: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs), all for use by manufacturers in mobile phones, tablets, computers and televisions and other display, commercial, industrial, residential and architectural lighting accent applications  
Status: Certificate of Registration on Supplemental Register issued June 2, 2015  
Next Action/Comments: Section 8 Declaration due between June 2, 2020 and June 2, 2021

Our File No.: 9308-002T  
Mark: **GLÖ**  
Owner: GLO AB  
Class: 9  
Filing Date: July 13, 2012  
Date of 1<sup>st</sup> Use: March 10, 2015  
Serial No.: 85/676,695  
Registration No.: 4,749,775  
Date of Registration: June 2, 2015  
Register: Supplemental  
Identification of Goods/Services: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs), all for use by manufacturers in mobile phones, tablets, computers and televisions and other display, commercial, industrial, residential and architectural lighting accent applications  
Status: Certificate of Registration on Supplemental Register issued June 2, 2015  
Next Action/Comments: Section 8 Declaration due between June 2, 2020 and June 2, 2021

**GLO AB**  
**TRADEMARK STATUS REPORT**  
**December 22, 2017**

Our File No.: 9308-003T  
Mark: **nLED**  
Owner: GLO AB  
Class: 9  
Filing Date: November 28 2012  
Basis of Application: Intent-to-Use  
Date of 1<sup>st</sup> Use: December 9, 2016  
Serial No.: 85/789,382  
Registration No.: 5,124,533  
Date of Registration: January 17, 2017  
Identification of Goods/Services: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs) for use in mobile phones, tablets, computers and televisions and other display, commercial, industrial, residential and architectural accent lighting applications  
Status: Certificate of Registration issued January 17, 2017; Customs & Border (CBP) Recordation effected by client on Feb. 14, 2017.  
Next Action/Comments: Sections 8 & 15 Combined Declaration due between January 17, 2022 and January 17, 2023.  
Customs: Renew CBP Recordation No. TMK 17-00166 at time of trademark registration renewal prior to January 17, 2027.

Our File No.: 9308-004T  
Mark: **iBLU**  
Owner: GLO AB  
Class: 9  
Filing Date: August 20, 2013  
Basis of Application: Intent-to-Use  
Date of 1<sup>st</sup> Use: March 9, 2017  
Serial No.: 86/042,731  
Registration No.: 5,195,883  
Date of Registration: May 2, 2017  
Identification of Goods/Services: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs) for use in tablets, computers and televisions and other display, commercial industrial, residential and architectural accent lighting applications  
Status: Certificate of Registration issued May 2, 2017  
Next Action/Comments: Combined Sections 8 & 15 Declaration due between May 2, 2022 and May 2, 2023.

**GLO AB**  
**TRADEMARK STATUS REPORT**  
**December 22, 2017**

**ABANDONED U.S. MARKS**

Our File No.:	9308-209T
Mark:	<b>GLO</b>
Owner:	GLO AB
Class:	9
Filing Date:	April 28, 2008
Basis of Application:	Intent-to-Use
Date of 1 <sup>st</sup> Use:	
Serial No.:	<u>77/459,538</u>
Registration No.:	N/A
Date of Registration:	N/A
Identification of Goods/Services:	Solid state lighting products, namely, nanowire based high-brightness light emitting diode chips
Status:	Notice of Approval of Extension Request (3 <sup>rd</sup> ) issued January 20, 2011; 4 <sup>th</sup> Request for Extension of Time filed July 13, 2011; Notice of Approval of Extension Request (4 <sup>th</sup> ) issued July 21, 2011; 5 <sup>th</sup> & Final Request for Extension of Time filed December 7, 2011; Notice of Approval of Extension Request (5 <sup>th</sup> ) issued January 4, 2012; Per client's instructions, let application go abandoned, not yet in use – re-file
Next Action/Comments:	Notice of Abandonment issued August 13, 2012

**GLO AB**  
**TRADEMARK STATUS REPORT**  
**December 22, 2017**

**INTERNATIONAL MARKS**

**MADRID PROTOCOL**

Mark: **GLO**  
Owner: **GLO AB**  
Class: **9: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs, all for use by manufacturers in tablets, computers and televisions and other display, commercial industrial, residential and architectural accent lighting applications**  
Our File No.: **9308-001T MP**  
Based on: **U.S. Serial No. 85/676,659**  
USPTO Ref. No.: **A0039693**  
Countries: **China, Europe, Japan, Korea**  
Int'l Registration No.: **1190322**  
Filing Date: **December 9, 2013**  
Int'l Reg. Date: **December 9, 2013**  
Int'l Renewal Date: **December 9, 2023**  
Status: **Madrid Protocol Application filed December 9, 2013; Approval of Certification received December 10, 2013, forwarded to International Bureau (IB) in Geneva for registration; Mark published for opposition January 30, 2014**

**GRANTED:**

**China:** Statement of Grant of Protection issued by Chinese Trademark Office on November 5, 2014  
**Korea:** Decision of Grant of Protection issued January 15, 2015  
**Japan:** Statement of Grant of Protection following Provisional Refusal issued February 26, 2015; 2<sup>nd</sup> part of Individual Fee paid to JPO through WIPO on March 23, 2015

**WITHDRAWN:**

**Europe:** Notice of Appeal filed May 27, 2015; Request to OHIM to Withdraw Appeal filed July 20, 2015; Request for Renunciation of EU Application filed with WIPO on August 12, 2015; OHIM Appeal Board's Decision to Withdraw Appeal issued September 2, 2015; and Notice of Recordation of Renunciation issued by WIPO on September 7, 2015

**GLO AB**  
**TRADEMARK STATUS REPORT**  
**December 22, 2017**

Mark: **GLO**  
Owner: **GLO AB**  
Class: **9: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs), all for use by manufacturers in tablets, computers and televisions and other display, commercial industrial, residential and architectural accent lighting applications**

Our File No.: **9308-002T MP**  
Based on: **U.S. Serial No. 85/676,695**  
USPTO Ref. No.: **A0039695**  
Countries: **China, Europe, Japan, Korea**  
Int'l Registration No.: **1190881**  
Filing Date: **December 9, 2013**  
Int'l Reg. Date: **December 9, 2013**  
Int'l Renewal Date: **December 9, 2023**  
Status: **Madrid Protocol Application filed December 9, 2013; USPTO certified application and forwarded to IB for registration; Mark published for opposition January 30, 2014**

**GRANTED:**

**China:** Statement of Grant of Protection issued by Chinese Trademark Office on November 17, 2014  
**Europe:** Statement of Grant of Protection issued by OHIM on December 3, 2014  
**Japan:** Statement of Grant of Protection issued by Japanese Trademark Office on September 17, 2015  
**Korea:** Decision of Grant of Protection issued January 15, 2015

Mark: **iBLU**  
Owner: **GLO AB**  
Class: **9: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs) for use in tablets, computers and televisions and other display, commercial industrial, residential and architectural accent lighting applications**

Our File No.: **9308-004T MP**  
Based on: **U.S. Serial No. 86/042,731**  
USPTO Ref. No.: **A0039653**  
Countries: **China, Europe, Japan, Korea**  
Int'l Registration No.: **1190611**  
Filing Date: **December 6, 2013**  
Int'l Reg. Date: **December 6, 2013**

**GLO AB**  
**TRADEMARK STATUS REPORT**  
**December 22, 2017**

Int'l Renewal Date: December 6, 2023  
Status: Madrid Protocol Application filed December 6, 2013; USPTO certified application and forwarded to IB for registration; Mark published January 30, 2014  
Next Action/Comments: File renewal of Madrid International Registration on or before December 6, 2023

**GRANTED:**

**China:** Statement of Grant of Protection issued by the Chinese Trademark Office on November 5, 2014  
**Europe:** Statement of Grant of Protection issued OHIM December 3, 2014  
**Japan:** Statement of Grant of Protection issued August 21, 2014. Second part of individual fee paid, and WIPO confirmation received, October 30, 2014

**WITHDRAWN:**

**Korea:** Provisional refusal issued July 10, 2014; response due September 10, 2014; Request for one month extension filed to extend deadline to October 10, 2014; Final Request for One Month Extension to file Response filed October 10, 2014; Response to Provisional Refusal filed November 10, 2014; Decision of Refusal issued February 10, 2015; Extension to file Appeal issued March 11, 2015; Per client authorization, on March 9, 2015, MLG instructed foreign counsel to file 2-month extension for appeal, to prepare appeal brief, and to file the non-use cancellation proceeding against third party mark i-BLUE in November 2015; decision as to investigating third party i-BLUE; Appeal to Korean IPT filed May 13, 2015; Request for Amendment issued by Korean IPT on May 26, 2015 – Supplemental Appeal Brief filed June 12, 2015; As per client's instructions, application to be abandoned/withdrawn.

Mark: **nLED**  
Owner: **GLO AB**  
Class: **9: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs) for use in tablets, computers and televisions and other display, commercial industrial, residential and architectural accent lighting applications**

Our File No.: **9308-003T MP**  
Based on: **U.S. Serial No. 85/789,382**  
USPTO Ref. No.: **A0039654**  
Countries: **China, Europe, Japan, Korea**  
Int'l Registration No.: **1189296**  
Filing Date: **December 6, 2013**

**GLO AB**  
**TRADEMARK STATUS REPORT**  
**December 22, 2017**

Int'l Reg. Date: December 6, 2013  
Int'l Renewal Date: December 6, 2023  
Status: Madrid Protocol Application filed December 6, 2013, certified by USPTO, and forwarded to IB for registration; Mark published for Opposition on January 16, 2014  
Next Action/Comments: File renewal of Madrid International Registration on or before December 6, 2023.

**GRANTED:**                   **Europe:**       Notice of Statement of Grant of Protection issued by OHIM November 11, 2014

**WITHDRAWN:**               **China:**       Notice of Ex Officio Refusal issued February 10, 2015; Appeal brief filed April 7, 2015; Supplemental arguments or supporting documents was due by July 7, 2015 – none filed per Client instructions.

**Korea:**                   Provisional refusal issued July 17, 2014; Response filed September 17, 2014; Decision of Refusal issued February 4, 2015 – Notice of Appeal filed with Korean IPT on May 6, 2015; Notice for Amendment issued May 20, 2015; Supplemental Appeal Brief filed May 29, 2015; Appeal denied by IP Trial and Appeal Board; As per client instructions, no further appeals filed.

**Japan:**                   Provisional Refusal issued September 7, 2014  
Response to Provisional Refusal filed December 11, 2014; Decision to Refuse a Trademark Registration issued by JPO on February 27, 2015; Appeal Brief filed with JPO on May 21, 2015; Appeal rejected; Complaint against Trial Decision due July 13, 2016- Foreign counsel advises not to file but to use mark in Japan to acquire secondary meaning; As per client instructions, no further action to be taken.

**GLO AB**  
**TRADEMARK STATUS REPORT**  
**December 22, 2017**

**TAIWAN**

Our File No.: 9308-001T-TW  
FC Ref. No.: G66184-T03-hiw  
Mark: **GLO**  
Owner: GLO AB  
Class: 9  
Filing Date: December 10, 2013  
Based on: U.S. Serial No. 85/676,659  
TW App. No.: 102069253  
Registration No.: 165641  
Date of Registration: August 1, 2014  
Identification of Goods/Services: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs) for use in tablets, computers and televisions and other display, commercial, industrial, residential and architectural accent lighting applications  
Status: Registration published August 1, 2014 (original Certificate mailed to GLO October 29, 2014)  
Next Action/Comments: Maintain evidence of use: vulnerable to cancellation if no use by July 31, 2017; if renewing file anytime from February 1, 2024 to August 1, 2024

Our File No.: 9308-002T-TW  
Mark: **GLO**  
Owner: GLO AB  
Class: 9  
Filing Date: December 10, 2013  
Based on: U.S. Serial No. 85/676,695  
TW App. No.: 102069254  
Registration No.: 165642  
Date of Registration: August 1, 2014  
Identification of Goods/Services: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs) for use in tablets, computers and televisions and other display, commercial, industrial, residential and architectural accent lighting applications  
Status: Registration published August 1, 2014 (original Certificate mailed to GLO October 29, 2014)  
Next Action/Comments: Maintain evidence of use: vulnerable to cancellation if no use by July 31, 2017; if renewing file anytime from February 1, 2024 to August 1, 2024



**GLO AB**  
**TRADEMARK STATUS REPORT**  
**December 22, 2017**

Our File No.: 9308-003T-TW  
Mark: **nLED**  
Owner: GLO AB  
Class: 9  
Filing Date: December 10, 2013  
Based on: U.S. Serial No. 85/789,382  
TW App. No.: 102069241  
TW Reg. No.: 1665141  
Date of Registration: September 16, 2014  
Identification of Goods/Services: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs) for use in tablets, computers and televisions and other display, commercial, industrial, residential and architectural accent lighting applications  
Status: Application filed December 10, 2013; Application approved by Taiwan Intellectual Property Office; registration fee paid; Certificate of Registration issued September 16, 2014; Registration published for opposition on September 16, 2014  
Next Action/Comments: Renewal of Registration due by Sept. 16, 2024

Our File No.: 9308-004T-TW  
Mark: **iBLU**  
Owner: GLO AB  
Class: 9  
Filing Date: December 10, 2013  
Based on: U.S. Serial No. 86/042,731  
TW Serial No.: 102069252  
Registration No.: 165640  
Date of Registration: August 1, 2014  
Identification of Goods/Services: Light emitting diodes (LEDs); light emitting diode (LED) displays; light emitting diodes (LEDs) for use in tablets, computers and televisions and other display, commercial, industrial, residential and architectural accent lighting applications  
Status: Registration published August 1, 2014 (original Certificate mailed to GLO October 29, 2014)  
Next Action/Comments: Maintain evidence of use: vulnerable to cancellation if no use by July 31, 2017; if renewing file anytime from February 1, 2024 to August 1, 2024