

PCT REQUEST

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0	For receiving Office use only	
0-1	International Application No.	PCT/CN2018/119908
0-2	International Filing Date	07 December 2018 (07.12.2018)
0-3	Name of receiving Office and "PCT International Application"	RO/CN
0-4	Form PCT/RO/101 PCT Request	
0-4-1	Prepared Using	CEPCT Version 10.20.30 MT/FOP 20140331/0.20.5.21
0-5	Petition The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty	
0-6	Receiving Office (specified by the applicant)	State Intellectual Property Office of the People's Republic of China (RO/CN)
0-7	Applicant's or agent's file reference	P2018TC648
I	Title of Invention	Novel 3D NAND Memory Device And Method of Forming The Same
II	Applicant	
II-1	This person is	Applicant only
II-2	Applicant for	All designated States
II-4	Name	Yangtze Memory Technologies Co., Ltd.
II-5	Address	Room 7018, No.18, Huaguang Road, Guandong Science and Technology Industrial Park, East Lake High-Tech Development Zone Wuhan, Hubei 430074 China
II-6	State of nationality	CN
II-7	State of residence	CN
II-11	Applicant's registration No. with the Office	

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III-1	Applicant and/or inventor	
III-1-1	This person is	Inventor only
III-1-3	Inventor for	
III-1-4	Name (LAST, First)	SONG, Yali
III-1-5	Address	Room 7018, No.18, Huaguang Road, Guandong Science and Technology Industrial Park, East Lake High-Tech Development Zone Wuhan, Hubei 430074 China
III-2	Applicant and/or inventor	
III-2-1	This person is	Inventor only
III-2-3	Inventor for	
III-2-4	Name (LAST, First)	XIAO, Li Hong
III-2-5	Address	Room 7018, No.18, Huaguang Road, Guandong Science and Technology Industrial Park, East Lake High-Tech Development Zone Wuhan, Hubei 430074 China
III-3	Applicant and/or inventor	
III-3-1	This person is	Inventor only
III-3-3	Inventor for	
III-3-4	Name (LAST, First)	WANG, Ming
III-3-5	Address	Room 7018, No.18, Huaguang Road, Guandong Science and Technology Industrial Park, East Lake High-Tech Development Zone Wuhan, Hubei 430074 China

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IV-1	Agent or common representative; or address for correspondence The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:	Agent
IV-1-1	Name	NTD UNIVATION INTELLECTUAL PROPERTY AGENCY LTD.
IV-1-2	Address	10th Floor, Tower C, Beijing Global Trade Center 36 North Third Ring Road East, Dongcheng District Beijing 100013 China
IV-1-3	Telephone No.	86-10-63611666
IV-1-4	Facsimile No.	86-10-66211845
IV-1-5	e-mail	mailbox@chinantd.com
IV-1-5(a)	E-mail authorization The receiving Office, the International Searching Authority, the International Bureau and the International Preliminary Examining Authority are authorized to use this e-mail address, if the Office or Authority so wishes, to send notifications issued in respect of this international application:	as advance copies followed by paper notifications
IV-1-6	Agent's registration No.	11376
V	DESIGNATIONS	
V-1	The filing of this request constitutes under Rule 4.9(a), the designation of all Contracting States bound by the PCT on the international filing date, for the grant of every kind of protection available and, where applicable, for the grant of both regional and national patents.	
V-2	Item V-2 may only be used to exclude (irrevocably) the designations concerned if, at the time of filing or subsequently under Rule 26bis.1, the international application contains in Box No. VI a priority claim to an earlier national application filed in the particular State concerned, in order to avoid the ceasing of the effect, under the national law, of this earlier national application.	
VI-1	Priority Claim	NONE
VII-1	International Searching Authority Chosen	State Intellectual Property Office of the People's Republic of China (ISA/CN)

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VIII	Declarations	Number of declarations	
VIII-1	Declaration as to the identity of the inventor	-	
VIII-2	Declaration as to the applicant's entitlement, as at the international filing date, to apply for and be granted a patent	-	
VIII-3	Declaration as to the applicant's entitlement, as at the international filing date, to claim the priority of the earlier application	-	
VIII-4	Declaration of inventorship (only for the purposes of the designation of the United States of America)	-	
VIII-5	Declaration as to non-prejudicial disclosures or exceptions to lack of novelty	-	
IX	Check list	Number of sheets	Electronic file(s) attached
IX-1	Request (including declaration sheets)	5	✓
IX-2	Description	46	✓
IX-3	Claims	6	✓
IX-4	Abstract	1	✓
IX-5	Drawings	21	✓
IX-7	TOTAL	79	
	Accompanying Items	Paper document(s) attached	Electronic file(s) attached
IX-8	Fee calculation sheet	-	✓
IX-11	Copy of general power of attorney	-	✓
IX-18	PCT-SAFE physical media	-	-
IX-19	Other	other	✓
IX-20	Figure of the drawings which should accompany the abstract	1A	
IX-21	Language of filing of the international application	English	
X-1	Signature of applicant, agent or common representative	/LIU, Jingfeng/	
X-1-1	Name	NTD UNIVATION INTELLECTUAL PROPERTY AGENCY LTD.	
X-1-2	Name of signatory	NTD UNIVATION INTELLECTUAL PROPERTY AGENCY LTD.	
X-1-3	Capacity (if such capacity is not obvious from reading the request)	Agent	

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10-1	Date of actual receipt of the purported international application	07 December 2018 (07.12.2018)
10-2	Drawings:	
10-2-1	Received	
10-2-2	Not received	
10-3	Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application	
10-4	Date of timely receipt of the required corrections under PCT Article 11(2)	
10-5	International Searching Authority	ISA/CN
10-6	Transmittal of search copy delayed until search fee is paid	

FOR INTERNATIONAL BUREAU USE ONLY

11-1	Date of receipt of the record copy by the International Bureau	
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