

CAUSES OF SUSPENSION

A suspension applies to previously evaluated products to which UL de Mexico has issued a Certificate of Compliance or Opinion, in the following cases:

- Negative results obtained during the surveillance process .
- For changes or modifications to the specifications or design of products which have not been assessed for reasons attributable to the certificate holder,
- The surveillance cannot be carried out for reasons attributable to the client and/or the certificate holder (NOM-001-SCFI, NOM-019-SCFI, NOM-063-SCFI, NOM-058-SCFI, NOM-003-SCFI, NOM-005-ENER, NOM-012-ENER, NOM-014-ENER, NOM-015-ENER, NOM-016-ENER, NOM-021-ENER/SCFI, NOM-023-ENER, NOM-025-ENER, NOM-026-ENER, NOM-029-ENER , NOM-030-ENER and NOM-031-ENER).
- The surveillance visit cannot be carried out on three successive times for reasons attributable to the holder. (NOM-010-SESH and NOM-015-SESH)
- Failure to comply with the characteristics and conditions established in the certificate and/or opinion, with the exception of standards NOM-003-SCFI, NOM-030-ENER, NOM-005-ENER, NOM-012-ENER, NOM-016-ENER, NOM-021-ENER /SCFI, NOM-023-ENER, NOM-029-ENER and NOM-031-ENER (See cancellation)
- Confirmation of non-compliance of the product with the applicable requirements during the investigation due to complaints received.
- Breach of the Contract for the Provision of Certification Services signed between both parties that, after analysis, is determined to be cause for suspension.
- When the authority determines it based on article 102 of the Regulation of the Federal Law of Metrology and Standardization or article 154 fraction VI of the Quality Infrastructure Law. Mexico)
- Non-compliance with the applicable NOM regarding marking or information required by the applicable standard, for NOM-003-SCFI.
- Failure to comply with the requirements of marking or information to the public established by the NOM, for NOM-005-ENER, NOM-012-ENER, NOM-016-ENER, NOM-021-ENER/SCFI, NOM-023-ENER, and NOM-030-ENER.
- Failure to comply with the marking or labeling requirements or commercial information established by NOM-029-ENER or by the technical regulations of El Salvador, Costa Rica or Panama.
- Non-compliance with NOM-015-ENER-2018 in aspects of energy efficiency labeling.
- In addition, for certificates issued in the NOM-031-ENER standard:
 - a) Non-compliance with marking or commercial information requirements set out in the NOM
 - b) When the final test report is not presented, if applicable and in accordance with the provisions of paragraph 12.5.1.1.5 of the NOM.
 - c) When the samples, selected during the follow-up, are not sent to the laboratory within 30 days from the day following the sampling and notify the CO within a period not exceeding 5 working days after entry into the laboratory.
 - d) When the test report of the current surveillance is not submitted, no later than five working days after its issuance.
- For certificates issued in the standard NOM-003-SCFI, NOM-005-ENER, NOM-012-ENER, NOM-015-ENER-2018, NOM-016-ENER, NOM-021-ENER/SCFI, NOM-023-ENER, NOM-029-ENER and NOM-030-ENER, these will be suspended when the certificate holder does

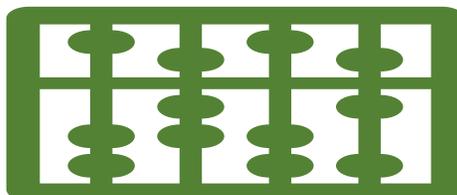
not submit to the certification body the test report derived from the surveillance 30 calendar days from the issuance date of the test report and within the validity of the certificate.

- For NOM-010-SESH and NOM-015-SESH, in case of suspension of the validity of the management system certificate. For NOM-010-SESH, the certificate(s) will be suspended for a maximum period of 60 calendar days and for NOM-015-SESH, they will be suspended for a maximum period of 30 calendar days, both counted from the date of completion of the audit, carried out by the management systems certification body.
- Additionally for the Telecommunications scheme:
 - ✓ When the holder, affiliates, subsidiaries and/or importers that make use of a certificate, does not provide product information or does not allow samples to be obtained for compliance monitoring,
 - ✓ When the covered products cease to comply with the applicable technical provisions derived from changes in it, which have been communicated to the CB in accordance with the provisions of section IV of article 12 of the telecommunications PEC,
 - ✓ When the product causes damage or harmful interference to telecommunications or broadcasting networks and services,
 - ✓ When the holder, affiliates, subsidiaries and / or importers that make use of a certificate impede or hinders the surveillance activities for the compliance with the certification,
 - ✓ The holder, in a period of 5 working days does not deliver by electronic means to the OC:
 - a copy of the acknowledgement of receipt of the application for approval procedure before the Institute, counted from the date of issue of the Certificate of Conformity, and
 - The copy of the approval or extension of the approval of the corresponding product, counted from the date of its issue.

The customer will have a period of 20 working days to make the corresponding clarifications and/or correct the deficiencies.

In all cases, UL de México will notify the customer in writing of this situation, granting him a period of 30 calendar days to make the pertinent clarifications or correct the deficiencies of the product or the certification process, as long as the standard does not establish specific times.

During this period, the customer cannot use in any way of the suspended certificate, and where appropriate, or the conformity marks and must apply the necessary measures to suspend the use of such marks in the manufacture, sale, delivery, shipment, distribution, or promotion of any product included in the scope of the suspended certificate.



Causes of Cancellation (Withdrawal).

The cancellation of a certificate of compliance or withdrawal of the granting of certification applies immediately when:

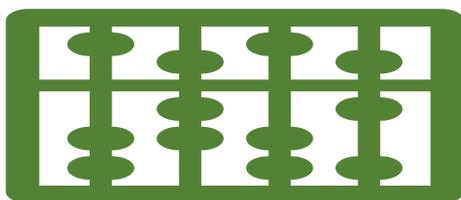
- The client does not make the necessary corrections requested by UL de México to remedy the detected non-compliance within the deadlines established for it;
- UL of Mexico verifies that the certificates or opinions granted or documents relating to certification have been altered or falsified,
- When an inspector/auditor presents himself for an inspection visit and this cannot be carried out by non-existent address or company;
- At the express request of the client, by means of prior written notice, (provided that the obligations contracted in the certification have been fulfilled at the time the cancellation is requested) for NOM-003-SCFI, NOM-012-ENER, NOM-015-ENER-2018, NOM-021-ENER/SCFI, NOM-023-ENER, NOM-029-ENER, NOM-030-ENER, NOM-031-ENER, NOM-005-ENER and NOM-016-ENER)
- When misleading statements are made in the use of the certificate.
- For non-compliance with specifications of the NOM, or NMX referred to, which are not aspects of marking or information, and also for NOM-029-ENER, labeling.
- NOM-015-ENER-2018, for non-compliance with NOM specifications other than aspects of energy efficiency labeling.
- When authority determines it based on article 102 of the Regulations of the Federal Law on Metrology and Standardization and 154 fraction VI of the Quality Infrastructure Law.
- Modifications have been made to the product without notifying to the certification body.
- The document containing the results of the conformity assessment loses its usefulness or the circumstances that gave rise to it are modified or cease to exist, upon request of a party.
- Certificate of the Quality management System of the production line has been cancelled, applicable to NOM-005-ENER, NOM-012-ENER, NOM-015-ENER-2018, NOM-021-ENER/SCFI, NOM-023-ENER, NOM-029-ENER, NOM-030-ENER, NOM-031-ENER, NOM-010-SESH and NOM-015-SESH.
- Characteristics and conditions established in the certificate have not been fulfilled (NOM-003-SCFI, NOM-030-ENER, NOM-005-ENER, NOM-012-ENER, NOM-016-ENER, NOM-021-ENER/SCFI, NOM-023-ENER, NOM-029-ENER and NOM-031-ENER)
- Critical modifications have been made to the product, for NOM-012-ENER and NOM-016-ENER.
- Where appropriate, modifications have been made that affect compliance with NOM-005-ENER, NOM-021-ENER/SCFI and NOM-023-ENER.
- Derived from an ownership extension, when any of the importers, distributors or marketers misuse the granted certificate or opinion.
- In the case of standards NOM-015-ENER-2012, NOM-017-ENER/SCFI-2012, NOM-022-ENER/SCFI-2014, NOM-028-ENER-2010, and NOM-032-ENER-2013, if the on-site visit cannot be made for reasons attributable to the client, the certificate will be canceled immediately.
- In the case of NOM-025-ENER, the CO must notify to the certificate holder of the suspension or cancellation of the certificate when the surveillance cannot be carried out for reasons

attributable to the company to be verified or because the product does not comply with the Official Mexican Standard.

- Additionally for the telecommunications scheme
 - ✓ At the request of the holder, provided that the obligations contracted in the certification have been fulfilled, at the time of requesting cancellation,
 - ✓ When the holder, affiliates, subsidiaries and / or importers incur in misleading statements in the use of the certificate or does not comply with the conditions established therein,
 - ✓ The owner, affiliates, subsidiaries and/or importers have provided false information or falsifies or alters the documents relating to certification,
 - ✓ The holder, affiliates, subsidiaries and / or importers relapse in the cases of article 15 of the Conformity Assessment procedure, or the deficiencies that caused the suspension are not corrected within the established period,
 - ✓ As a result of the verification compliance surveillance actions, when not complying with the provisions of the applicable technical provisions,
 - ✓ The product ceases to comply with the applicable technical Provision, resulting from modifications to it without having been notified to the CO,
 - ✓ The CO receives a notice of revocation of approval from the Institute.

Ownership Extensions will be cancelled immediately upon cancellation of the certificate of origin.

On the other hand, UL de México, in addition to the cancellation of the certificate and / or opinion, may terminate the Service Agreement by simple written notice, without prejudice to the sanctions that proceed in accordance with the regulations of the Federal Law on Metrology and Standardization, the Quality Infrastructure Law, the Federal Consumer Protection Law and other applicable laws, depending on the severity of the case.



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