

Quality Requirements for Suppliers - General

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1. Purpose and Scope

This document establishes quality requirements and expectations for the Suppliers producing materials, parts, sub-assemblies, assemblies and services to that conform to SOURIAU Japan drawings, specifications and requirements specified by a Purchase Order (PO), or a contract that may affect quality or delivery of SOURIAU Japan products.

When indicated on the Purchase Order, the following Quality Requirements for Supplier will apply, except the standard parts and/or the standard materials specified in the catalog of the manufacturer.

General Information

Specific requirements complementary to this document can be indicated for certain orders.

By the acceptance of the SOURIAU Japan order, the Supplier commits itself respecting the clauses defined in this document.

Any possible deviation in applying these clauses must be agreed between SOURIAU Japan and the Supplier.

2. General requirements

The Supplier must ensure that raw materials, parts, sub-assemblies, assemblies and services comply with all engineering drawings, purchasing requirements and all applicable industry and regulatory requirements.

2-1 General Obligations of the Supplier

This document is contractual and completes the general conditions of Purchases.

General obligations of the Supplier regarding SOURIAU Japan are the following:

- The Supplier have to deliver a supply goods strictly conform to the order's requirements and/or work order requirements (lead-time is one of the contractual requirements)
- When the supplier is addressed to request to sub-tier, he has to flow down all the order's requirements and/or rules of this document including retailer / distributor / stockist.
- When receiving the order, the Supplier must do a complete review of the clauses applicable to this order, in order to identify and set up the structures and quality procedures , inspections, test facilities and tools necessary to the execution of the order.
- It is Supplier responsibility to request SOURIAU Japan additional information if necessary.
Any identified potential problem must be communicated to SOURIAU Japan within the shortest times.
- The Supplier commits himself announcing to SOURIAU Japan, within the most reduced times, all anomalies occurring during the manufacturing, of assembly or tests, or detected subsequently to the delivery of the supplies.
- The Supplier commits himself to communicate to SOURIAU Japan all information related to country of origin, custom codes (HS codes), articles classification (ITAR, EAR,).

- The Supplier commits himself to communicate to SOURIAU Japan all information regarding substances of concern using for materials, parts, sub-assemblies, assemblies and in process (manufacturing, packaging, ...).

2-1-1 Counterfeit Parts Prevention

The Supplier shall establish and maintain controls to prevent the purchase and usage of counterfeit materials, parts, components or devices.

The Supplier shall maintain a method of Item traceability which ensures tracking of the Item(s) back to the Original Equipment Manufacturer (OEM) of the materials, parts, components and devices including those Item(s) in sub-assemblies and assemblies being delivered under SOURIAU Japan Purchase order.

If a suspect/counterfeit Item(s) is furnished to SOURIAU Japan, the Supplier shall promptly disclose such Item(s) to SOURIAU Japan and replace such Item(s) with Item(s) acceptable at no increase in price, cost or fee to SOURIAU Japan.

The Supplier shall be liable for all costs relating to impoundment, removal, and replacement of counterfeit Item(s).

2-1-2 Conflict minerals

The Supplier acknowledges the enactment of the Conflict Minerals provision (US Federal Law section 1502) of the Dodd-Frank Wall Street Reform and Consumer Protection Act and implementing regulations (the "Rule"), and the risks associated with sourcing tin, tantalum, tungsten and gold (the "Conflict Minerals") from the Democratic Republic of the Congo and adjoining countries ("DRC countries").

The Supplier shall commit to comply with the Rule, including the establishment of a supply chain policy and processes to undertake (1) a reasonable inquiry into the country of origin of Conflict Minerals incorporated into products it provides to SOURIAU Japan orders; (2) due diligence of its supply chain, as necessary, to determine if Conflict Minerals sourced from the DRC countries, and (3) related risk assessment and mitigation actions and procedures, in each case, in a manner that the Supplier has determined will comply with the Rule.

2-2 Environmental, Health and Safety (EHS) Regulation

Compliance with SOURIAU Japan EHS policy and all government and local regulations (RoHS, REACH, National law/regulation of countries) regarding environmental controls is mandatory for the all Suppliers. The EHS policy is based on all SOURIAU Japan customer requirements regarding substances of concern. Although this document covers most requirements in general, the materials, parts, sub-assemblies, assemblies that you provide might have special requirements that are above

and beyond the regulations.

In general, SOURIAU Japan is focusing on the reduction and elimination of:

- Lead
- Cadmium
- Specific forms of Chromium (Hexavalent Cr)
- Mercury
- Specific Brominated Flame retardants
- Perfluorinated chemicals (PFOS and PFOA)
- Asbestos
- Substances in the current candidate list of the REACH Substances of Very High Concern

The Supplier must make all the necessary provisions in order to respect the various environmental regulations which fall on to him(ex: REACH, RoHS, Asbestos, etc.).

The Supplier must establish and maintain a surveillance system of the laws applicable to his activities and the products manufactured.

In any case, none forbidden substances or products by law should be included in products, equipment, services provided to SOURIAU Japan.

Safety Data Sheet (SDS) must be submitted to SOURIAU Japan for all raw materials used in the creation of all SOURIAU Japan products. These are the documents that define all characteristics of a material from a safety perspective. The Suppliers are responsible for collecting these documents from their own suppliers or for the creation of their own SDS.

All SDS documents must be submitted to SOURIAU Japan initially and anytime there is a change.

2-3 Supplier Quality System

The Supplier must have and maintain a documented Quality Management System compliant to ISO 9001 and the requirements of this document.

The Supplier must have a coherent quality system adapted to its operations and the products and services provided.

This system must be described in a Quality Manual (or any other equivalent document) available at the request of SOURIAU Japan. The Supplier must provide to SOURIAU Japan the proof of their quality and environmental certifications and of their renewal and must communicate, upon SOURIAU Japan request, the audits reports of these certifications.

The Supplier must provide their organization chart defined the people (Direction, Sales, Quality and Logistics) managing SOURIAU Japan account, communicate the way to contact them and inform SOURIAU Japan if any organization change occurs.

Upon SOURIAU Japan request, a continuous improvement plan and / or a quality assurance plan can be required.

2-4 Document Control

Technical documents includes the whole of the documents necessary to the execution of the order listed as follows,

- Manufacturing drawings (including plating), Assembly drawings and associated specifications
- Instructions, Control and Inspection documents
- SOURIAU Japan customers documentation (If necessary)
- Engineering order
- General specification and requirements

Above documents are done and managed either by SOURIAU Japan or by the Supplier.

SOURIAU Japan transmits to the Supplier the published documents (drawings, instructions, and specifications) and successive updates necessary to the realization of the order.

The Supplier, within his services and workshops, ensures himself of the update of the whole of documentation compared to the indications of the order. It must set up all the provisions necessary to avoid the use of out-of-date documents.

=> The Supplier shall replace the current documents to updated ones in accordance with the instruction of the SOURIAU Japan's Engineering order when updated documents are transmitted from SOURIAU Japan's purchasing department.

And the original copies having red stamp shall be controlled by the Supplier in accordance with NDA, since all the information defined in the documents are SOURIAU Japan's property.

If the Supplier creates his own documentation using the drawings or specifications provided by SOURIAU Japan, this documentation can be validated by SOURIAU Japan at the request of the Supplier. However, only SOURIAU Japan documentation refers for the establishment of the conformity of the supply.

In case of technical documentation submitted to regulation control (ITAR, EAR,...), the Supplier have to put in place a special management process to reply to the exportation's regulation requirements and rules.

2-5 Manufacturing process flow chart with Quality control plan (QC flow chart)

The Supplier shall provide the Manufacturing process flow chart with Quality control plan for their raw materials, parts, sub-assemblies and assemblies to SOURIAU Japan.

Before starting series production of the articles, the Manufacturing process flow chart with Quality control plan shall be reviewed and validated between the Supplier and SOURIAU Japan.

The name of sub-tier Suppliers, related control documents (Inspection procedures (Reception,

In-Process inspection, Final inspection) etc.), engineering documents (Drawings, Specifications), manufacturing documents (assembly instructions / procedures, tooling / equipment and packaging instructions / drawings), etc. must be defined in QC flow chart.

2-6 Identification, Manufacturing lot control and Traceability management

The Supplier shall manage the Traceability of the raw materials, parts, sub-assemblies and assemblies (from raw material to final product) based on each Manufacturing lot and Identification defined between SOURIAU Japan and the Supplier.

2-6-1 Definition of Manufacturing lot and Identification

In case of providing specific Purchasing specification and/or specific Assembly instruction from SOURIAU Japan, the definition of Manufacturing lot and the Identification rule shall be followed by the documents.

In the other case (including the articles before issuing specific Purchasing specification etc.), one Manufacturing lot defines the articles under 1 PO or 1 WO (Work Order), the Supplier must produce the articles under the same manufacturing condition.

If the manufacturing condition is changed in the middle of the manufacturing due to any troubles, different suffix number after the same Manufacturing lot number shall be applied after each re-starting the production and the Supplier also shall record the changes with Manufacturing lot number (with all different suffix) in the traveler sheet and the inspection record sheet.

The manufacturing date can be applied in case of there is no manufacturing condition change during a day.

=> Examples of the manufacturing condition change

- Change of the machine set-up parameter (including machine stop)
 - Change of the machine/tooling/equipment and process location
 - Change of the raw material lot and the parts lot (machining, stamping, plating etc.)
 - Change of the operator
- etc.

2-6-2 Traceability management

The Supplier must ensure the recording in its manufacturing and inspections documents (sequences of operations, inspections and test reports...) of all the operations carried out of the realization of the order.

To utilize the Traceability management, individual Manufacturing lot numbers and inspection records of raw materials, parts, all parts for sub-assemblies and for assemblies by the ordered lots shall be defined clearly and shall be induced quickly when SOURIAU Japan needs.

Except specific requirements to the order, the Supplier must archive the documents related to the

execution of the order for a 10 years period.

When the Supplier delivers raw materials, parts, sub-assemblies and assemblies to SOURIAU Japan, the Manufacturing lot number shall be made clear and he shall submit the inspection report and inspected samples as required in the specific Purchasing specification and the specific Inspection sheet issued from SOURIAU Japan.

In the other case (no specific Purchasing specification and specific Inspection requirements from SOURIAU Japan), the Supplier shall submit the inspection report (his own format) and the inspected samples with the Manufacturing lot indication for the delivery.

The remaining raw materials, parts, sub-assemblies and assemblies must be identified by putting the Manufacturing lot number at Supplier's warehouse.

2-6-3 Manufacturing lot marking and Indication of the package

In case of putting the Manufacturing lot number on sub-assemblies and/or assemblies (on the Insulator, Hood, Shell etc.) without any special instruction, the Supplier shall follow the instruction defined in the drawing.

The Indication of the package shall be followed by the designation of the specific Purchasing specification and specific Packing specification issued from SOURIAU Japan.

In the other case, part number, quantity, manufacturing lot number and manufacturing date (dd/mm/yy) must be indicated in the label on the package.

2-7 Changes, Modification

The Supplier shall notify SOURIAU Japan of changes to its Certification/Registration status and any other Changes and/or Modifications that may affect product quality, such as:

- Change in ownership
- Change of manufacturing location, sub-tier Suppliers (Including logistic route)
- Change of materials, parts, components
- Change of process, methodologies (including change of Measuring equipment), Packaging
- Change of Machine, Tooling (Including renewal of Tooling, Die-set etc.)
- Change of operator (Especially for Special processes)

The Supplier shall get the approval for the changes and/or Modifications from SOURIAU Japan by using the "Process Change approval request" form before starting the production.

Any request for Changes and/or Modification must be formalized (reason, justification, Risk analysis, Inspection report(FAI), Material certificate...) by the Supplier and presented at SOURIAU Japan for evaluation and decision. (by using the "Process Change approval request" form)

SOURIAU Japan also may ask the Supplier to supply a certain quantity of current articles for the smooth change with customers.

All communications between the Supplier and SOURIAU Japan must be in writing.

2-8 Obsolescence

The Supplier must alert SOURIAU Japan 12 months minimum before any discontinuance of business or stop of manufacture of a component entering the composition of products provided to SOURIAU Japan. This duty of alert also relates to the proper sources of material procured by the Supplier. The alert must allow SOURIAU Japan for qualifying a replacement solution with another supplier, another product, or another process.

2-9 First Article Inspection (FAI)

The Supplier shall perform a First Article Inspection (FAI) for a new parts representative of the first production run to verify that all dimensions, features and product attributes meet specified requirements. Documentation of the FAI must be submitted for review and approval to SOURIAU Japan prior to the first production start.

The Supplier is responsible for flowing down FAI requirements to sub-tier suppliers.

It will be implemented at the request of SOURIAU Japan completely or partially, in the following cases:

- New products
- Modified products (material, dimensional, definition,...)
- Interruption of manufacture superior to 24 months
- Manufacturing transfer
- Change of the manufacturing process or of supplier
- Renewal of the specific tools
- Or on SOURIAU Japan demand

Some products can have particular requirement in terms of inspection, those requirements will be specified on the contractual documentation.

The Supplier will mandatory communicate, in case of 1st article requirement, a qualification report with the delivery.

2-10 Inspection

The Supplier is responsible for the identification of the critical parameters of the processes implemented, in addition to the critical dimensions/parameters from the design point of view, their inspections as well as the control of the key characteristics of the product identified during the supply development.

The Supplier must have an organization ensuring the deliveries are in conformity with the order.

The Supplier must check that final inspection is done by qualified workers not under the production responsibility.

2-11 Special processes

A Special process is a process whose results cannot be entirely inspected by an inspection or a test of the product, and whose consequence of deficiencies in the implementation, can appear only with the use of this product (ex: surface treatment, heat treatment, ...)

The Supplier must have a list of his special process, define and put in place qualification methods and periodic renewal.

If the Supplier must use and/or sub-contract special processes for realization of the order, it will have for SOURIAU Japan evidences of their qualification including the qualification of the personnel implementing these processes.

SOURIAU Japan reserves the right to carry out an audit at the Supplier or its subcontractors at the time of the realization of the order.

2-12 Worker's Qualification

The Supplier must ensure himself of professional competences of his personnel and operations must be done by people having the necessary qualification.

2-13 Nonconformities

The Supplier must have an internal system to manage Nonconformities.

Non-conforming material, parts or product must be segregated and isolated in the Supplier plant to not mix good ones with bad ones.

The Supplier must also have a nonconformity management system to manage his own suppliers. The Supplier is responsible to alert SOURIAU Japan for all anomalies or Nonconformities that can affect quality of the delivered ones or in progress.

If the Supplier finds Non-conforming materials, parts or product prior to shipment, the Supplier must evaluate whether items already shipped to SOURIAU Japan may have the same Nonconformity. If the potential exists, the Supplier must notify SOURIAU Japan of the potential or actual Nonconformity of already delivered ones.

When SOURIAU Japan identifies Nonconformity caused by the Supplier, a Request for Supplier Corrective Action (FQAI-) may be submitted to the Supplier. The Supplier must take action and provide response (plan and implement the appropriate and effective corrective actions) to SOURIAU Japan request within 1 week of the date of receipt. Copies of all records related to the Nonconformity should be sent to SOURIAU Japan upon request.

2-13-1 Concession request

When the Supplier wishes to present articles with Nonconformity for acceptance, he must address a report for Nonconformity (by using the "Concession request" form) to SOURIAU Japan purchasing department.

The decision taken will be communicated to the Supplier by SOURIAU Japan purchasing department.

2-14 Maintenance and Control of Manufacturing tooling/equipment

The Supplier must maintain properly and control the manufacturing tooling and equipment (including inspection gauge and jigs) owned by SOURIAU Japan.

The Supplier shall perform the regular basis calibration of the test and measuring equipment for the manufacturing.

2-15 Record Retention

Records related to the manufacturing and/or operations, including inspections, tests and traceability are to be retained by the Supplier and made available upon request for verification by SOURIAU Japan, customers or regulatory authorities. Records should be identifiable, accurate and completed.

The Supplier must retain quality records of products and services provided to SOURIAU Japan for minimum of 20 years or the life of the contract, whichever is greater. At the end of the retention period, the Supplier should provide the option for SOURIAU Japan to take the possession of the records.

2-16 Right of Access

Right of access to SOURIAU Japan authorized personnel or their customers must be afforded to all facilities involved in the order, and to all applicable records, as well as for verification of parts and materials at the Supplier's premises.

SOURIAU Japan may request that the Supplier provide documentation, including registration documentation, certification approval, audit reports, findings, corrective actions, test results etc. The Supplier must provide assistance for on-site evaluation processes and completion of reports and surveys where appropriate.

2-17 Packaging and Shipping

All parts and materials intended for SOURIAU Japan must be protected against the potential damage from shipping, ESD (Electrostatic Discharge), FOD (Foreign Object Debris), corrosion, moisture, contamination, deterioration or damage by processing, handling or storage at the Supplier, or in transit to SOURIAU Japan or from any sub-tier supplier.

All electrostatic discharge sensitive materials or assemblies must be wrapped in ESD protective bubble wrap or placed in anti-static bags prior to boxing.

Indication of the package must be followed by 2-6-3 in this document.

All packages must be accompanied by a packing list detailing the contents.

2-18 Supplies having shelf-life

The Supplier is responsible for reviewing the shelf-life of the raw materials and makes sure that it is not exceeded when he uses it for the manufacturing of the supplies.

In the case of supplies having a shelf-life limit, the expiry date must be clearly indicated on each unit of conditioning of the supply. No delivery of supply must include a shelf-life lower than 1 year without prior agreement of SOURIAU Japan.

Particular case: supplies containing rubber neoprene or silicone

The supplies delivered and manufactured with silicon or neoprene rubbers are subjected to shelf-life limitation defined from the molding date:

- Neoprene supply: 2 years
- Silicone supply: 4 years

the date of vulcanization must be indicated on the packing label.

During the delivery of parts containing polymer or neoprene, the limit date for use will have to be at least 12 months for neoprene and 24 months for polymer.


If the special requirement is notified, the Supplier has to respect the shelf-life limitation defined in this special requirement.

2-19 Manufacturer's Certificate of Conformance

A signed Certificate of Conformance (COC) must accompany each shipment and contain the following information:

- Name and Address of manufacturer
- SOURIAU Japan Purchase Order number
- Part Number
- Quantity
- Drawing number and rev level to which product was manufactured
- Special Processes (if applicable)
- Statement certifying product compliance and traceability
- Authorized signature and Date

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	Process Change approval request		SOURIAU Japan
			Control number
			PCR-

This request shall be submitted with the parts before starting the production.

Request date :	Supplier Document # :	Supplier Name
Product Name :	Part Number :	Supplier Originator
Description of the Change / Modification		Name:
<input type="checkbox"/> manufacturing location <input type="checkbox"/> sub-tier supplier <input type="checkbox"/> raw material/parts/components <input type="checkbox"/> process/ methodology (measuring equipment) <input type="checkbox"/> machine/tooling <input type="checkbox"/> packaging <input type="checkbox"/> operator <input type="checkbox"/> plating <input type="checkbox"/> others ()		Date:
- Reason of the change:		
- Justification with validation result:		
- Risk analysis:		
- Request date of implementation:		
- Attachment: QC flow chart, FAI data, Qualification test result, Articles before/after change (pcs each), etc		

Judgment by SOURIAU Japan

- Approved
- Rejected

Comments :

Additional control:

- ☐ Evaluation test for 1st lot ☐ Special inspection
- ☐ Customer approval ☐ Process audit

Receipt		Manufacturing Eng.		Design Eng.
Purchasing dept.	Examined	Approved	Examined	Examined
Name:	Name:	Name:	Name:	Name:
Date:	Date:	Date:	Date:	Date:
Design Eng.		QA dept.		Distribution
Approved	Examined	Approved	Examined	Purchasing dept.
Name:	Name:	Name:	Name:	Name:
Date:	Date:	Date:	Date:	Date:

☐ Purchasing, ☐ Inoue

Judgment by SOURIAU Japan	
● Approved	
● Restricted use ()
● Rework/Repair ()
● Rejected	

Request date :	Supplier Document # :	Supplier Name
Product Name :	Part Number :	
Quantity :	Lot/Serial # :	
Description of the Deviation :		New or Recurrence(previous report # :)

Comments by QA department :

In case of 'Approved' or 'Restricted use', a copy of this sheet (after judgment) shall be packed in each box when deliver the parts to SOURIAU Japan and shall be put the S-J control # on the outside box.

Additional control:

☐ Evaluation test

☐ Others

☐ Customer approval

<i>Receipt</i>	QA dept.		<i>Distribution</i>
	Examined	Approved	
Purchasing dept.			Purchasing dept.
Name:	Name:	Name:	Name:
Date:	Date:	Date:	Date: