March 23rd, 2017

RE: HC Cell Series RoHS Declaration

To Our Valued Customers:

The EU Restriction on Hazardous Substances (RoHS) Directive (2011/65/EU) was recast from Directive 2002/95/EC on July 21, 2011, and member states are required to enforce the restrictions by January 2, 2013. It seeks to restrict the use of certain hazardous substances in electrical and electronic equipment by setting certain concentration limits for the following substances: lead (Pb), cadmium (Cd), mercury (Hg), hexavalent chromium (Cr6+), polybrominated biphenyls (PBB), and polybrominated diphenyl ethers (PBDE).

Maxwell Technologies, Inc., along with its affiliates, vendors and partners, support the RoHS objective of preventing risks to human health and the environment, with a particular focus on workers involved in the management of electronic waste. Accordingly, Maxwell hereby declares that the products listed in Table 1 below do not contain any of the above mentioned substances in excess of the permitted concentrations.

Table 1

<table>
<thead>
<tr>
<th>PC10-90</th>
<th>PC10HT-90</th>
<th>BCAP0001 P270 T01</th>
<th>BCAP0003 P270 T01</th>
<th>BCAP0005 P270 T01</th>
</tr>
</thead>
<tbody>
<tr>
<td>BCAP0010 P270 T01</td>
<td>BCAP0010 P270 T11</td>
<td>BCAP0025 P270 T01</td>
<td>BCAP0025 P270 T11</td>
<td>BCAP0050 P270 T01</td>
</tr>
<tr>
<td>BCAP0100 P270 T01</td>
<td>BCAP0100 P270 T07</td>
<td>BCAP0150 P270 T07</td>
<td>BCAP0310 P270 T10</td>
<td>BCAP0350 E270 T11</td>
</tr>
<tr>
<td>BCAP0650 P270 K04</td>
<td>BCAP0650 P270 K05</td>
<td>BCAP1200 P270 K04</td>
<td>BCAP1200 P270 K05</td>
<td>BCAP1500 P270 K04</td>
</tr>
<tr>
<td>BCAP1500 P270 K05</td>
<td>BCAP2000 P270 K04</td>
<td>BCAP3000 P270 K04</td>
<td>BCAP3000 P270 K04</td>
<td>BCAP3000 P270 K05</td>
</tr>
<tr>
<td>BCAP3400 P285 K04</td>
<td>BCAP3400 P285 K05</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The above statements are based upon one of the following techniques employed by Maxwell, its affiliates, vendors, or partners: certification at accredited test facilities; or through similarity in construction and materials used.

RoHS test reports prepared for Maxwell by an accredited facility are attached. This letter is updated every year. Reports are updated when material changes occur.

For additional questions or information, please contact your Maxwell Key Account Manager.
Environmental Services

Test Report No.: 316G2601.001

Client: Maxwell Technologies
9244 Balboa Ave.
San Diego, CA 92123 USA

Test Item Description: Material samples for analysis
See material list

Model Identification: HC Cells

Delivery Condition: apparent good
Date of Receipt: 08/19/2016

Testing Location: TÜV Rheinland of North America
2709 SE Otto Corley Dr, Suite 11 Bentonville, AR 72712 USA

Test Specification: Directive 2011/65/EU on the restriction of the use of certain hazardous substances in electrical and electronic equipment (RoHS)
Following the guidelines for Analysis IEC 62321

Test Result: The above described test object was tested and passed the above-mentioned test specification.

Tested by: [Signature]
Checked by: [Signature]

William Tyree
08/20/2016
Chemist

Mark Smith
08/20/2016
Laboratory Manager

Other Aspects:
Test Method: IEC 62321:2008
Components were evaluated using one or more of the following methods:
XOS XRF Screening, Wet chemical analysis, or Manufacturer RoHS compliance mark/documentation.

This test report relates to the a.m. test sample. Without permission of the test centre this test report is not permitted to be duplicated in extracts. This test report does not entitle to carry any safety mark on this or similar products.
1. **Testing Date(s):**

8/22/2016 - 8/26/2016

**RoHS Requirements**

<table>
<thead>
<tr>
<th>Limits For RoHS Compliance (mg/kg)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cr VI</td>
</tr>
<tr>
<td>1000 mg/kg</td>
</tr>
</tbody>
</table>

2. **Test Results**

**Material List**

<table>
<thead>
<tr>
<th>Material Number</th>
<th>Material Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-8</td>
<td>HC Cells</td>
</tr>
</tbody>
</table>

**XOS XRF Report matrix**

<table>
<thead>
<tr>
<th>Material No.</th>
<th>ppm [mg/kg]</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Cr</td>
</tr>
<tr>
<td>1</td>
<td>ND</td>
</tr>
<tr>
<td>2</td>
<td>ND</td>
</tr>
<tr>
<td>3</td>
<td>ND</td>
</tr>
<tr>
<td>4</td>
<td>ND</td>
</tr>
<tr>
<td>5</td>
<td>ND</td>
</tr>
<tr>
<td>6</td>
<td>17.4</td>
</tr>
<tr>
<td>7</td>
<td>55.2</td>
</tr>
<tr>
<td>8</td>
<td>ND</td>
</tr>
<tr>
<td>9</td>
<td>ND</td>
</tr>
</tbody>
</table>

**Remark:**
1. **RED TEXT:** These items are inconclusive by XRF-Screening - see Wet Chemistry Confirmation Results section
2. NT = Not Tested (Bromine in Alloys)
3. ND = Not Detected (less than limits of detection)
4. (WC) = See Wet Chemistry Results

**Limits of Detection (mg/kg):**

<table>
<thead>
<tr>
<th></th>
<th>Cr</th>
<th>Br</th>
<th>Cd</th>
<th>Hg</th>
<th>Pb</th>
</tr>
</thead>
<tbody>
<tr>
<td>Limits</td>
<td>15</td>
<td>5</td>
<td>5</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>
3. Sample Photos

![Sample Photos]

4. Exemptions

Annex III: Applications exempted from the restriction in Article 4(1)

1. Mercury in single-capped (compact) fluorescent lamps not exceeding (per burner):
   a) For general lighting purposes < 30 W: 5 mg
Expires on 31 December 2011: 3.5 mg may be used per burner after 31 December 2011 until 31 December 2012; 2.5 mg shall be used per burner after 31 December 2012
b) For general lighting purposes ≥ 30 W and < 50 W: 5 mg
   Expires on 31 December 2011: 3.5 mg may be used per burner after 31 December 2011
c) For general lighting purposes ≥ 50 W and < 150 W: 5 mg
d) For general lighting purposes ≥ 150 W: 15 mg
e) For general lighting purposes with circular or square structural shape and tube diameter ≤ 17 mm
   No limitation of use until 31 December 2011, 7 mg may be used per burner after 31 December 2011
f) For special purposes: 5 mg
g) For general lighting purposes < 30 W with a lifetime equal or above 20,000 h: 3.5 mg
   Expires on 31 December 2011

2. Mercury in double-capped linear fluorescent lamps for general lighting purposes not exceeding (per lamp):
a) Tri-band phosphor lamps
   1. Tri-band phosphor with normal lifetime and a tube diameter < 9 mm (e.g. T2): 5 mg
      Expires on 31 December 2011; 4 mg may be used per lamp after 31 December 2011
   2. Tri-band phosphor with normal lifetime and a tube diameter ≥ 9 mm and ≤ 17 mm (e.g. T5): 5 mg
      Expires on 31 December 2011; 3 mg may be used per lamp after 31 December 2011
   3. Tri-band phosphor with normal lifetime and a tube diameter > 17 mm and ≤ 28 mm (e.g. T8): 5 mg
      Expires on 31 December 2011; 3.5 mg may be used per lamp after 31 December 2011
   4. Tri-band phosphor with normal lifetime and a tube diameter > 28 mm (e.g. T12): 5 mg
      Expires on 31 December 2012; 5.5 mg may be used per lamp after 31 December 2012
   5. Tri-band phosphor with long lifetime (≥ 28,000 h): 8 mg
      Expires on 31 December 2011; 5 mg may be used per lamp after 31 December 2011
b) Mercury in other fluorescent lamps not exceeding (per lamp):
   1. Linear halophosphate lamps with tube > 28 mm (e.g. T10 and T12): 10 mg
      Expires on 13 April 2012
   2. Non-linear halophosphate lamps (all diameters): 15 mg
      Expires on 13 April 2018
   3. Non-linear tri-band phosphor lamps with tube diameter > 17 mm (e.g. T9)
      No limitation of use until 31 December 2011; 10 mg may be used per lamp after 31 December 2011
   4. Lamps for other general lighting and special purposes (e.g. induction lamps)
      No limitation of use until 31 December 2011; 15 mg may be used per lamp after 31 December 2011

3. Mercury in cold cathode fluorescent lamps and external electrode fluorescent lamps (CCFL and EEFL) for special purposes not exceeding (per lamp):
a) Short length (≤ 500 mm)
   No limitation of use until 31 December 2011; 3.5 mg may be used per lamp after 31 December 2011
b) Medium length (> 500 mm and ≤ 1500 mm)
   No limitation of use until 31 December 2011; 5 mg may be used per lamp after 31 December 2011
c) Long length (> 1500 mm)
   No limitation of use until 31 December 2011; 13 mg may be used per lamp after 31 December 2011

4. a) Mercury in other low pressure discharge lamps (per lamp)
   No limitation of use until 31 December 2011; 15 mg may be used per lamp after 31 December 2011
b) Mercury in High Pressure Sodium (vapor) lamps for general lighting purposes not exceeding (per burner) in lamps with improved color rendering index Ra > 60:
   I. P ≤ 165 W
      No limitation of use until 31 December 2011; 30 mg may be used per burner after 31 December 2011
   II. 155 W < P ≤ 405 W
      No limitation of use until 31 December 2011; 40 mg may be used per burner after 31 December 2011
   III. P > 405 W
      No limitation of use until 31 December 2011; 40 mg may be used per burner after 31 December 2011
c) Mercury in other High Pressure Sodium (vapor) lamps for general lighting purposes not exceeding (per burner):
   I. P ≤ 165 W
      No limitation of use until 31 December 2011; 25 mg may be used per burner after 31 December 2011
   II. 155 W < P ≤ 405 W
      No limitation of use until 31 December 2011; 30 mg may be used per burner after 31 December 2011
   III. P > 405 W
Environmental Services

Test Report No.: 316G2601.001

Page 5 of 6

No limitation of use until 31 December 2011; 40 mg may be used per burner after 31 December 2011

c) Mercury in High Pressure Mercury (vapor) lamps (HgMV)

Expires on 13 April 2015
e) Mercury in metal halide lamps (MH)

f) Mercury in other discharge lamps for special purposes not specifically mentioned in this Annex

g) Mercury in hand crafted luminous discharge tubes used for signs, decorative or architectural and specialist lighting and light-artwork, where the mercury content shall be limited as follows:

a) 20 mg per electrode pair + 0.3 mg per tube length in cm, but not more than 80 mg, for outdoor applications and indoor applications exposed to temperatures below 20°C.
b) 15 mg per electrode pair + 0.25 mg per tube length in cm, but not more than 80 mg, for all other indoor applications.

5.

a) Lead in glass of cathode ray tubes

b) Lead in glass of fluorescent tubes not exceeding 0.2% by weight

6.

a) Lead as an alloying element in steel for machining purposes and in galvanized steel containing up to 0.35% lead by weight

b) Lead as an alloying element in aluminum containing up to 0.4% lead by weight

c) Copper alloy containing up to 4% lead by weight

7.

a) Lead in high melting temperature type solders (i.e., lead-based alloys containing 85% by weight or more lead)

b) Lead in solders for servers, storage and storage array systems, network infrastructure equipment for switching, signaling, transmission, and network management for telecommunications

c) Electrical and electronic components containing lead in a glass or ceramic other than dielectric ceramic in capacitors, e.g., piezoelectric devices, or in a glass or ceramic matrix compound

II. Lead in dielectric ceramic in capacitors for a rated voltage of 125 V AC or 250 V DC or higher

III. Lead in dielectric ceramic in capacitors for a rated voltage of less than 125 V AC or 250 V DC

Expires on 1 January 2013 and after that date may be used in spare parts for EEE placed on the market before 1 January 2013

IV. Lead in PCT based dielectric ceramic materials for capacitors which are part of integrated circuits or discrete semiconductors

Expires on 21 July 2016

8.

a) Cadmium and its compounds in one shot pellet type thermal cut-offs

Expires on 1 January 2012 and after that date may be used in spare parts for EEE placed on the market before 1 January 2012

b) Cadmium and its compounds in electrical contacts

9.

a) Hexavalent chromium as an antiozonation agent of the carbon steel cooling system in absorption refrigerators up to 0.75% by weight in the cooling solution

b) Lead in bearing shells and bushes for refrigerant-containing compressors for heating, ventilation, air conditioning and refrigeration (HVACR) applications

11.

a) Lead used in C-press compliant pin connector systems

May be used in spare parts for EEE placed on the market before 24 September 2010

b) Lead used in other than C-press compliant pin connector systems

Expires on 1 January 2013 and after that date may be used in spare parts for EEE placed on the market before 1 January 2013

12. Lead as a coating material for the thermal conduction module C-ring

May be used in spare parts for EEE placed on the market before 24 September 2010

13.

a) Lead in white glasses used for optical applications

b) Cadmium and lead in filter glasses and glasses used for reflectance standards

14. Lead in solders consisting of more than two elements for the connection between the pins and the package of microprocessors with a lead content of more than 60% and less than 85% by weight

Expired on 1 January 2011 and after that date may be used in spare parts for EEE placed on the market before 1 January 2011

15. Lead in solders to complete a viable electrical connection between semiconductor die and carrier within integrated circuit flip chip packages

TÜV Rheinland of North America • Bennington, AR Office • 2109 SE Otto Corley Dr. • U.S.A.
Tel: 479-250-0060  Fax: 479-250-0821  Mail: north@us.tuv.com • Web: www.us.tuv.com
18. Lead in linear incandescent lamps with silicate coated tubes
   Expires on 1 September 2013
17. Lead halide as radiant agent in high intensity discharge (HID) lamps used for professional reprography applications
18. a) Lead as activator in the fluorescent powder (1% lead by weight or less) of discharge lamps when used as specialty lamps for diazo printing, photopolymerography, lithography, inks, and fluorescent processes containing phosphors such as CuS (CoS) and MgSO4.7H2O.
      b) Lead as activator in the fluorescent powder (1% lead by weight or less) of discharge lamps when used as sun tanning lamps containing phosphors such as ESP (BaS2O5.Fe).
19. Lead with PbSn-Hg and PbInSn-Hg in specific compositions as main amalgam and with PbSn-Hg as auxiliary amalgam in very compact energy saving lamps (ESL).
   Expires on 1 June 2011
20. Lead oxides in glass used for bonding front and rear substrates of flat fluorescent lamps used for Liquid Crystal Displays (LCDs).
   Expires on 1 June 2011
21. Lead and cadmium in printing inks for the application of enamels on glass, such as borosilicate and soda lime glasses.
22. Lead in finishes of fire pitch components other than connectors with a pitch of 0.05 mm and less.
23. Lead in soldering materials in mercury free flat fluorescent lamps (which, e.g., are used for liquid crystal displays, design or industrial lighting).
24. Lead oxides in the glass envelope of black light blue lamps.
   Expires on 1 June 2011
25. Lead alloys as solder for transducers used in high-powered (designated to operate for several hours at acoustic power levels of 125 dB SPL and above) loudspeakers.
   Expires on 24 September 2010
26. Lead bound in crystal glass as defined in Annex I (Categories 1, 2, 3 and 4) of Council Directive 69/480/EEC (1).
27. Lead in electrical/mechanical solder joints to electrical conductors located directly on the voice coil in transducers used in high-powered loudspeakers with sound pressure levels of 100 dB (A) and more.
29. Mercury used as a cathode sputtering inhibitor in DC plasma displays with a content up to 30 mg per display.
   Expires on 1 July 2010
30. Lead in the plating layer of high voltage diodes on the basis of a zinc borate glass body.
31. Cadmium and cadmium oxide in thin film pastes used on aluminum bonded beryllium oxide.
32. Cadmium in color converting II-VI LEDs (<10 μg Cd per mm2 of light-emitting area) for use in solid state illumination or display systems.
   Expires on 1 July 2014
40. Cadmium in photoresists for analogue optocouplers applied in professional audio equipment.
   Expires on 31 December 2013

Annex IV: restrictions specific to medical devices and monitoring and control instruments

Equipment utilizing or detecting ionizing radiation

1. Lead, cadmium and mercury in detectors for ionizing radiation.
2. Lead in X-ray tubes.
3. Lead in electromagnetic radiation amplification devices: micro-channel plate and capillary plate.
4. Lead in glass of X-ray tubes and image intensifiers and lead in glass for assembly of gas lasers and for vacuum tubes that convert electromagnetic radiation into electrons.
5. Lead in shielding for ionizing radiation.
7. Lead in X-ray diffraction crystals.
9. Sensors, detectors and equipment.

1a. Lead and cadmium in ion selective electrodes including glass of pH electrodes.
1b. Lead anodes in electrochemical oxygen sensors.
1c. Lead, cadmium and mercury in infra-red light detectors.

Others

10. Lead and cadmium in atomic absorption spectroscopy lamps.
11. Lead in alloys as a superconductor and thermal conductor in MRI.
12. Lead and cadmium in metallic foils creating superconducting magnetic circuits in MRI, SQUID, NMR (Nuclear Magnetic Resonance) or FTMS (Fourier Transform Mass Spectrometry) detectors. Expires on 30 June 2021.
13. Lead in counterswatches.
14. Lead in single crystal piezoelectric materials for ultrasonic transducers.
15. Lead in soilders for bonding to ultrasonic transducers.
16. Mercury in very high accuracy capacitors and loss measurement bridges and in high frequency RF switches and relays in monitoring and control instruments not exceeding 20 mg of mercury per switch or relay.
17. Lead in soilders in portable emergency demineralizers.
18. Lead in soilders of high performance infrared imaging modules to detect in the range 8-14 μm.
19. Lead in Liquid crystal on silicon (LCOS) displays.
20. Cadmium in X-ray measurement filters.
22. Lead acetate marker for use in stereotactic head frames for use with CT and MRI and in positioning systems for gamma beam and particle therapy equipment. Expires on 30 June 2021.
25. Lead in the surface coatings of pin connector systems requiring nonmagnetic connectors, which are used durably at a temperature below −20 °C under normal operating and storage conditions. Expires on 30 June 2021.
26. Lead in - soilders on printed circuit boards,
   - termination coatings of electrical and electronic components and coatings of printed circuit boards,
   - soilders for connecting wires and cables,
   - soilders connecting transducers and sensors, that are used durably at a temperature below −20 °C under normal operating and storage conditions. Expires on 30 June 2021.
27. Lead in - soilders,
   - termination coatings of electrical and electronic components and printed circuit boards,
   - connections of electrical wires, shields and enclosed connectors, which are used in a) magnetic fields within the sphere of 1 m radius around the isocentre of the magnet in medical magnetic resonance imaging equipment, including patient monitors designed to be used within this sphere, or b) magnetic fields within 1 m distance from the external surfaces of cyclotron magnets, magnets for beam transport and beam direction control applied for particle therapy. Expires on 30 June 2020.
28. Lead in alloys, as a superconductor or thermal conductor, used in cryo-cooler cold heads and/or in cryo-cooled cold probes and/or in cryo-cooled equipotential bonding systems, in medical devices (category 3) and/or in industrial monitoring and control instruments. Expires on 30 June 2021.
29. Hexavalent chromium in alkaline dispensors used to create photocathodes in X-ray image intensifiers until 31 December 2019 and in spare parts for X-ray systems placed on the EU market before 1 January 2020.
30. Lead, cadmium and hexavalent chromium in reused spare parts, recovered from medical devices placed on the market before 22 July 2014 and used in category 8 equipment placed on the market before 22 July 2021, provided that reuse takes place in audible closed-loop business-to-business re-use systems, and that the reuse of parts is notified to the consumer. Expires on 21 July 2021.
32. Lead in solder on printed circuit boards of detectors and data acquisition units for Positron Emission Tomographs which are integrated into Magnetic Resonance Imaging equipment. Expires on 31 December 2019.

33. Lead in solder on populated printed circuit boards used in Directive 93/42/EEC class IIa and IIb mobile medical devices other than portable emergency defibrillators. Expires on 30 June 2016 for class IIa and on 31 December 2020 for class IIb.

34. Lead as an activator in the fluorescent powder of discharge lamps when used for extraconical phosphorescent lamps containing BSI (Bari 2 O1.5 Pb) phosphor. Expires on 22 July 2021.

35. Mercury in cold cathode fluorescent lamps for back-lit liquid crystal displays, not exceeding 6 mg per lamp, used in industrial monitoring and control instruments placed on the market before 22 July 2017. Expires on 21 July 2024.

36. Lead used in other than C-press compliant pin connector systems for industrial monitoring and control instruments. Expires on 31 December 2020. May be used after that date in spare parts for industrial monitoring and control instruments placed on the market before 1 January 2021.

37. Lead in platinumized platinum electrodes used for conductivity measurements where at least one of the following conditions applies:
   a) wide-range measurements with a conductivity range covering more than 1 order of magnitude (e.g. range between 0.1 mS/m and 5 mS/m) in laboratory applications for unknown concentrations;
   b) measurements of solutions where an accuracy of ±1 % of the sample range and where high corrosion resistance of the electrodes are required for any of the following:
      i. solutions with an acidity < pH 1;
      ii. solutions with an alkalinity > pH 13;
      iii. corrosive solutions containing hydrogen gas;
   c) measurements of conductivities above 100 mS/m that must be performed with portable instruments. Expires on 31 December 2019.

38. Lead in solder in one interface of large area stacked die elements with more than 500 interconnects per interface which are used in X-ray detectors of computed tomography and X-ray systems. Expires on 31 December 2020. May be used after that date in spare parts for CT and X-ray systems placed on the market before 1 January 2020.

39. Lead in micro-channel plates (MCPs) used in equipment where at least one of the following properties is present:
   a) a compact size of the detector for electrons or ions, where the space for the detector is limited to a maximum of 3 mm/MCP (detector thickness + space for installation of the MCP), a maximum of 6 mm in total, and an alternative design yielding more space for the detector is scientifically and technically impracticable;
   b) a two-dimensional spatial resolution for detecting electrons or ions, where at least one of the following applies:
      i. a response time shorter than 20 ns;
      ii. a sample detection area larger than 149 mm²;
      iii. a multiplication factor larger than 1.3 x 10^3.
   c) a response time shorter than 5 ns for detecting electrons or ions;
   d) a sample detection area larger than 314 mm² for detecting electrons or ions;
   e) a multiplication factor larger than 4.0 x 10^4.
   The exemption expires on the following dates:
   (a) 21 July 2021 for medical devices and monitoring and control instruments;
   (b) 21 July 2023 for in-vitro diagnostic medical devices;
   (c) 21 July 2024 for industrial monitoring and control instruments.

40. Lead in dielectric ceramic in capacitors for a rated voltage of less than 125 V AC or 250 V DC for industrial monitoring and control instruments. Expires on 31 December 2020. May be used after that date in spare parts for industrial monitoring and control instruments placed on the market before 1 January 2021.

41. Lead in solders and termination finishes of electrical and electronic components and finishes of printed circuit boards used in ignition modules and other electrical and electronic engine control systems, which for technical reasons must be mounted directly on or in the crankcase or cylinder of hand-held combustion engines (classes SH1, SH2, SH3 of Directive 97/68/EC of the European Parliament and of the Council). Expires on 31 December 2018.

End of Report.