

UN Test Report

| | |
|-------------------|---|
| Name of Sample | Lithium Ion Battery 4UPF4256120-1-T1141 |
| Consignor | SANYO Energy(Suzhou) CO.,LTD |
| Manufacturer | SANYO Energy(Suzhou) CO.,LTD |
| Test Method | United Nations "Recommendations on the TRANSPORT OF DANGEROUS GOODS" |
| Criterion | United Nations "Recommendations on the TRANSPORT OF DANGEROUS GOODS" |
| Appearance | Black rectangular parallelepiped |
| Test Date | T1-T5 2013/04/01-2013/04/11 T6 2013/09/18 T7 2013/04/02-2013/04/11 T8 2011/03/21-2011/03/29 |
| Test Items | Altitude simulation, Thermal test, Vibration test, Shock test, External short circuit, Overcharged |
| Conclusion | The sample has passed the items of UN38.3. |
| Remark | Certification by Original Cell Model Certification by Similar Battery Model: 4UPF4256120-1-T1028 Ratio of (4UPF4256120-1-T1141)/(4UPF4256120-1-T1028) [Wh rating ratio]: 106.5%, [Voltage ratio]: 100% |
| Consignor Address | No.86 Sunwu Road, Xukou, Wuzhong District, Suzhou City, Jiangsu Province 215164, China |

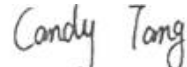
Sanyo Energy(Suzhou) Co.,Ltd.



Approval



Check



Writing

CONFIDENTIAL

Date: March 31, 2014

B: Checklist for Judging New Type Battery or not

Confirmation of presence of change in "The element which is given influence"

(Change ⇒ ○、No change ⇒ -)

When there is no change in all items, it is NOT considered to be a New Type Battery.

| | |
|--|---------------------|
| Model which UN regulation test has completed | 4UPF4256120-1-T1028 |
| Target model which is not a new type | 4UPF4256120-1-T1141 |

| Test Item (Function) | The element which is given influence | Presence of change |
|---|--|--------------------------|
| T1: Altitude Simulation (Decompression load) | <ul style="list-style-type: none"> ▪ Crimped part, Gasket (Cell) ▪ Gas Release Vent, Cell Case (Cell) ▪ Pack (Plastic) Case ▪ Holding Member (Insulator, Insulation Tape, Both Sides Tape) ▪ Coating materials | - |
| T2: Thermal Shock (Repetition of high temp. and low temp.) | <ul style="list-style-type: none"> ▪ Crimped part, Gasket (Cell) ▪ Gas Release Vent, Cell Case (Cell) ▪ Finished state of Wound Electrodes (Cell) ▪ Pack (Plastic) Case ▪ Holding Member (Insulator, Insulation Tape, Both Sides Tape) ▪ Coating materials | - |
| T3: Vibration (Vibration load) | <ul style="list-style-type: none"> ▪ Finished state of Wound Electrodes (Cell) ▪ Electric wiring member ▪ Electronic Parts on a circuit board ▪ Cell Holding Member (Adhesive, Both Sides Tape, Lib of Plastic Case) | - |
| T4: Shock (Shock load) | <ul style="list-style-type: none"> ▪ Wiring Member ▪ Electronic Parts on a circuit board ▪ Cell Holding Member (Adhesive, Both Sides Tape, Lib of Plastic Case) ▪ Finished state of Wound Electrodes (Cell) | - |
| T5: External Short Circuit (Short current) | <ul style="list-style-type: none"> ▪ Over-voltage Protection ▪ Current Control Device ▪ Safety Device of cell (Cell) ▪ Lead Tab | - |
| T6 (Cell): Impact/Crush | <ul style="list-style-type: none"> ▪ Separator (Cell) ▪ Insulation State in a cell (Cell) | - |
| T7 (Pack): Overcharge (Charge load) | <ul style="list-style-type: none"> ▪ Overcharge Protection ▪ Thermal Device ▪ Safety Device of cell (Cell) | - |
| T8 (Cell): Forced Discharge | ▪ Finished state of Wound Electrodes | -/NA *1 |
| Wh of cell | Is Wh difference of cell less than 20%? | - |
| Voltage of cell | Is increase of cell voltage less than 20%? | - |
| Judgment result | New Type or not | New (Not new) |

*1 Judgement has not applied if first checking was run under the UN test manual ver. 5 or former.

Sanyo Energy (Suzou) Co., Ltd.

K. Morina

approval

A. Tsutsui

Check

Candy Tang

Writing

Certificate of UN test for Lithium ion battery

Customer Model : 31507327
Global Code : BJ-TB40001AA
Product Name : 4UPF4256120-1-T1141



We declare that this battery passed UN test.

| Manual of Tests and Criteria (38.3 Lithium batteries) | | Test results | Note | Number of test batteries | |
|--|------------------------|--------------|------|---|---|
| No. | Test item | | | | |
| T 1 | Altitude simulation | Pass | | First cycle fully charged 4 batteries | After 50 cycles fully charged 4 batteries |
| T 2 | Thermal test | Pass | | | |
| T 3 | Vibration | Pass | | | |
| T 4 | Shock | Pass | | | |
| T 5 | External short circuit | Pass | | | |
| T 6 | Crush | Pass | | First cycle 50% charged 5 cells | |
| T 7 | Overcharge | Pass | | First cycle, fully charged 4 batteries | After 50 cycles, fully charged 4 batteries |
| T 8 | Forced discharge | Pass | | First cycle, fully discharged 10 cells | After 50 cycles, fully discharged 10 cells |

*The test data may contain additional test result other than above table.

Lithium ion battery Specification

| Item | Nominal value | Note |
|----------------------------|---------------|------|
| Watt-hour rating | 49 Wh | |
| Nominal voltage | 14.8 V | |
| Lithium equivalent content | 3.96 g | |

Above test procedures are compliant to the following manual.

(Manual of Tests and Criteria ST/AC.10/11, PartIII, sub-section 38.3, Rev.5A1 for cell, Rev.5A1 for battery)

UN Test Data (Model:4UPF4256120-1-T1141)

1.Test Item: Altitude simulation (T1)

P.4/10

2.Test Purpose: This test simulates air transport under low-pressure conditions.

3.Test Procedure:

Test cells and batteries shall be stored at a pressure of 11.6kPa or less for at least six hours at ambient temperature(20±5°C).

SANYO Internal Procedure:

As above.

4.Test Requirements:

No mass loss(less than 0.1%),no leakage,no venting,no disassembly,no rupture and no fire,and the voltage retention is not less than 90%.

5.Test Date: 2013/04/01

6.Test Data

| Battery No. | Mass(g) | | Mass loss (%) (≤0.1%) | Voltage(V) | | Voltage Retention (%) (≥90%) | Other event | Result | Judgement |
|--|-------------|------------|--------------------------|-------------|------------|---------------------------------|-------------|--------|-----------|
| | Before test | After test | | Before test | After test | | | | |
| At first cycle,in fully charged states | 1 | 343.15 | 343.12 | 0.01 | 16.63 | 16.60 | 99.8 | 0 | PASS |
| | 2 | 344.57 | 344.55 | 0.01 | 16.61 | 16.59 | 99.9 | 0 | PASS |
| | 3 | 345.44 | 345.40 | 0.01 | 16.62 | 16.60 | 99.9 | 0 | PASS |
| | 4 | 345.66 | 345.63 | 0.01 | 16.62 | 16.59 | 99.8 | 0 | PASS |
| After 50 cycles ending in fully charged states | 5 | 347.21 | 347.17 | 0.01 | 16.60 | 16.58 | 99.9 | 0 | PASS |
| | 6 | 349.91 | 349.86 | 0.01 | 16.62 | 16.60 | 99.9 | 0 | PASS |
| | 7 | 345.68 | 345.62 | 0.02 | 16.61 | 16.59 | 99.9 | 0 | PASS |
| | 8 | 345.67 | 345.63 | 0.01 | 16.63 | 16.60 | 99.8 | 0 | PASS |

Notes: L-Leakage, V-Venting, D-Disassembly, R-Rupture, F-Fire,
0-No leakage, no venting, no disassembly, no rupture & no fire

UN Test Data (Model:4UPF4256120-1-T1141)

1.Test Item: Thermal Test (T2)

P.5/10

2.Test Purpose: This test assesses cell and battery seal integrity and internal electrical connections. The test is conducted using rapid and extreme temperature changes.

3.Test Procedure:

Test cells and batteries are to be stored for at least six hours at a test temperature equal to $75\pm 2^{\circ}\text{C}$, followed by storage for at least six hours at a test temperature equal to $-40\pm 2^{\circ}\text{C}$. The maximum time interval between test temperature extremes is 30 minutes. This procedure is to be repeated 10 times, after which Atrial Narrow and batteries are to be stored for 24 hours at ambient temperature ($20\pm 5^{\circ}\text{C}$). For large cells and batteries the duration of exposure to the test temperature extremes should be at least 12 hours.

SANYO Internal Procedure:

As above.

4.Test Requirements:

No mass loss (less than 0.1%), no leakage, no venting, no disassembly, no rupture and no fire, and the voltage retention is not less than 90%.

5.Test Date: 2013/04/01-2013/04/08

6.Test Data

| Battery No. | Mass(g) | | Mass loss (%) ($\leq 0.1\%$) | Voltage(V) | | Voltage Retention (%) ($\geq 90\%$) | Other event | Result | Judgement |
|--|-------------|------------|-----------------------------------|-------------|------------|--|-------------|--------|-----------|
| | Before test | After test | | Before test | After test | | | | |
| At first cycle, in fully charged states | 1 | 343.12 | 342.90 | 0.06 | 16.60 | 16.47 | 99.2 | 0 | PASS |
| | 2 | 344.55 | 344.28 | 0.08 | 16.59 | 16.46 | 99.2 | 0 | PASS |
| | 3 | 345.40 | 345.13 | 0.08 | 16.60 | 16.47 | 99.2 | 0 | PASS |
| | 4 | 345.63 | 345.43 | 0.06 | 16.59 | 16.46 | 99.2 | 0 | PASS |
| After 50 cycles ending in fully charged states | 5 | 347.17 | 346.99 | 0.05 | 16.58 | 16.46 | 99.3 | 0 | PASS |
| | 6 | 349.86 | 349.63 | 0.07 | 16.60 | 16.44 | 99.0 | 0 | PASS |
| | 7 | 345.62 | 345.39 | 0.07 | 16.59 | 16.45 | 99.2 | 0 | PASS |
| | 8 | 345.63 | 345.37 | 0.08 | 16.60 | 16.45 | 99.1 | 0 | PASS |

Notes: L-Leakage, V-Venting, D-Disassembly, R-Rupture, F-Fire,
0-No leakage, no venting, no disassembly, no rupture & no fire

UN Test Data (Model:4UPF4256120-1-T1141)

1.Test Item: Vibration (T3)

P.5/10

2.Test Purpose: This test simulates vibration during transport.

3.Test Procedure:

Cells and batteries are firmly secured to the platform of the vibration machine without distorting the cells in such a manner as to faithfully transmit the vibration. The vibration shall be a sinusoidal waveform with a logarithmic sweep between 7 Hz and 200 Hz and back to 7 Hz traversed in 15 minutes. This cycle shall be repeated 12 times for a total of 3 hours for each of three mutually perpendicular mounting positions of the cell. One of the directions of vibration must be perpendicular to the terminal face.

The logarithmic frequency sweep is as follows: from 7 Hz a peak acceleration of 1gn is maintained until 18 Hz is reached.

The amplitude is then maintained at 0.8 mm(1.6 mm total excursion) and the frequency increased until a peak acceleration of 8gn occurs (approximately 50Hz). A peak acceleration of 8 gn is then maintained until the frequency is increased to 200Hz.

SANYO Internal Procedure:

As above.

4.Test Requirements:

No mass loss(less than 0.1%),no leakage,no venting,no disassembly,no rupture and no fire,and the voltage retention is not less than 90%.

5.Test Date: 2013/04/08-2013/04/09

6.Test Data

| Battery No. | Mass(g) | | Mass loss (%) (≤0.1%) | Voltage(V) | | Voltage Retention(%) (≥90%) | Other event | Result | Judgement |
|--|-------------|------------|--------------------------|-------------|------------|--------------------------------|-------------|--------|-----------|
| | Before test | After test | | Before test | After test | | | | |
| At first cycle,in fully charged states | 1 | 342.90 | 342.85 | 0.01 | 16.47 | 16.46 | 99.9 | 0 | PASS |
| | 2 | 344.28 | 344.20 | 0.02 | 16.46 | 16.45 | 99.9 | 0 | PASS |
| | 3 | 345.13 | 345.07 | 0.02 | 16.47 | 16.45 | 99.9 | 0 | PASS |
| | 4 | 345.43 | 345.40 | 0.01 | 16.46 | 16.45 | 99.9 | 0 | PASS |
| After 50 cycles ending in fully charged states | 5 | 346.99 | 346.95 | 0.01 | 16.46 | 16.46 | 100.0 | 0 | PASS |
| | 6 | 349.63 | 349.52 | 0.03 | 16.44 | 16.44 | 100.0 | 0 | PASS |
| | 7 | 345.39 | 345.35 | 0.01 | 16.45 | 16.44 | 99.9 | 0 | PASS |
| | 8 | 345.37 | 345.25 | 0.03 | 16.45 | 16.45 | 100.0 | 0 | PASS |

Notes: L-Leakage, V-Venting, D-Disassembly, R-Rupture, F-Fire,
0-No leakage, no venting, no disassembly, no rupture & no fire

UN Test Data (Model:4UPF4256120-1-T1141)

1.Test Item: Shock (T4)

P.6/10

2.Test Purpose: This test simulates possible impacts during transport.

3.Test Procedure:

Test cells and batteries shall be secured to the testing machine by means of a rigid mount which will support all mounting surfaces of each test battery. Each cell or battery shall be subjected to a half-sine shock of peak acceleration of 150 g_n and pulse duration of 6 milliseconds. Each cell or battery shall be subjected to three shocks in the positive direction followed by three shocks in the negative direction of three mutually perpendicular mounting positions of the cell or battery for a total of 18 shocks.

However, large cells and large batteries shall be subjected to a half-sine shock of peak acceleration of 50 g_n and pulse duration of 11 milliseconds. Each cell or battery is subjected to three shocks in the positive direction followed by three shocks in the negative direction of each of three mutually perpendicular mounting positions of the cell for a total of 18 shocks.

SANYO Internal Procedure:

As above.

4.Test Requirements:

No mass loss(less than 0.1%),no leakage,no venting,no disassembly,no rupture and no fire,and the voltage retention is not less than 90%.

5.Test Date: 2013/04/10

6.Test Data:

| Battery No. | Mass(g) | | Mass loss (%) (≤0.1%) | Voltage(V) | | Voltage Retention (%) (≥90) | Other event | Result | Judgement |
|--|-------------|------------|--------------------------|-------------|------------|--------------------------------|-------------|--------|-----------|
| | Before test | After test | | Before test | After test | | | | |
| At first cycle,in fully charged states | 1 | 342.85 | 342.83 | 0.01 | 16.46 | 16.45 | 99.9 | 0 | PASS |
| | 2 | 344.20 | 344.16 | 0.01 | 16.45 | 16.43 | 99.9 | 0 | PASS |
| | 3 | 345.07 | 344.97 | 0.03 | 16.45 | 16.45 | 100.0 | 0 | PASS |
| | 4 | 345.40 | 345.47 | 0.02 | 16.45 | 16.44 | 99.9 | 0 | PASS |
| After 50 cycles ending in fully charged states | 5 | 346.95 | 346.90 | 0.01 | 16.46 | 16.45 | 99.9 | 0 | PASS |
| | 6 | 349.52 | 349.47 | 0.01 | 16.44 | 16.43 | 99.9 | 0 | PASS |
| | 7 | 345.35 | 345.35 | 0.00 | 16.44 | 16.43 | 99.9 | 0 | PASS |
| | 8 | 345.25 | 345.23 | 0.01 | 16.45 | 16.44 | 99.9 | 0 | PASS |

Notes: L-Leakage, V-Venting, D-Disassembly, R-Rupture, F-Fire,
0-No leakage, no venting, no disassembly, no rupture & no fire

UN Test Data (Model:4UPF4256120-1-T1141)

1.Test Item: External short circuit (T5)

P.7/10

2.Test Purpose: This test simulates an external short circuit.

3.Test Procedure:

The cell or battery to be tested shall be temperature stabilized so that its external case temperature reaches $55\pm 2^{\circ}\text{C}$ and then the cell or battery shall be subjected to a short circuit condition with a total external resistance of less than 0.1ohm at $55\pm 2^{\circ}\text{C}$. This short circuit condition is continued for at least one hour after the cell or battery external case temperature has returned to $55\pm 2^{\circ}\text{C}$. The cell or battery must be observed for a further six hours for the test to be concluded.

SANYO Internal Procedure:

As above.

4.Test Requirements:

External temperature of test batteries does not exceed 170°C and there is no disassembly, no rupture and no fire within six hours of this test.

5.Test Date: 2013/04/11

6.Test Data

| Battery No. | | Maximum temperature ($^{\circ}\text{C}$) | Event | Result | Judgement |
|--|---|--|-------|--------|-----------|
| At first cycle, in fully charged states | 1 | 54.6 | 0 | PASS | PASS |
| | 2 | 54.3 | 0 | PASS | |
| | 3 | 54.3 | 0 | PASS | |
| | 4 | 54.3 | 0 | PASS | |
| After 50 cycles ending in fully charged states | 5 | 54.7 | 0 | PASS | |
| | 6 | 54.4 | 0 | PASS | |
| | 7 | 54.3 | 0 | PASS | |
| | 8 | 54.4 | 0 | PASS | |

Notes: D-Disassembly, R-Rupture, F-Fire, 0-No disassembly, no rupture & no fire

UN Test Data (Model:4UPF4256120-1-T1141)

1.Test Item:Crush (T6)

Applicable to prismatic, pouch, coin/button cells and cylindrical cells not more than 20 mm in diameter

2.Test Purpose: These tests simulate mechanical abuse from a crush that may result in an internal short circuit.

3.Test Procedure:

A cell or component cell is to be crushed between two flat surfaces. The crushing is to be gradual with a speed of approximately 1.5 cm/s at the first point of contact. The crushing is to be continued until the first of the three options below is reached.

- (a) The applied force reaches $13 \text{ kN} \pm 0.78 \text{ kN}$;
- (b) The voltage of the cell drops by at least 100 mV; or
- (c) The cell is deformed by 50% or more of its original thickness.

Once the maximum pressure has been obtained, the voltage drops by 100 mV or more, or the cell is deformed by at least 50% of its original thickness, the pressure shall be released.

A prismatic or pouch cell shall be crushed by applying the force to the widest side. A button/coin cell shall be crushed by applying the force on its flat surfaces. For cylindrical cells, the crush force shall be applied perpendicular to the longitudinal axis.

Each test cell or component cell is to be subjected to one crush only. The test sample shall be observed for a further 6 h. The test shall be conducted using test cells or component cells that have not previously been subjected to other tests.

4.Test Requirements:

External temperature of test cells and component cell does not exceed 170°C and there is no disassembly, no rupture and no fire during the test and within six hours after the test.

5.Test Date: 2013/09/18

6.Test Data:

| Cell No. | | Maximum Temperature($^\circ\text{C}$) | Other event | Result | Judgement |
|------------------------------------|---|---|-------------|--------|-----------|
| At first cycle, 50% charged states | 1 | 18.4 | 0 | PASS | PASS |
| | 2 | 18.8 | 0 | PASS | |
| | 3 | 19.0 | 0 | PASS | |
| | 4 | 19.2 | 0 | PASS | |
| | 5 | 19.1 | 0 | PASS | |

Notes: D-Disassembly, F-Fire, 0-No disassembly & no fire

UN Test Data (Model:4UPF4256120-1-T1141)

1.Test Item:Overcharge (T7)

P.9/10

2.Test Purpose: This test evaluates the ability of a rechargeable battery to withstand an overcharge condition.

3.Test Procedure:

The charge current shall be twice the manufacturer's recommended maximum continuous charge current.

The minimum voltage of the test shall be as follows:

- (a) when the manufacturer's recommended charge voltage is not more than 18V, the minimum voltage of the test shall be the lesser of two times the maximum charge voltage of the battery or 22V.
- (b) when the manufacturer's recommended charge voltage is more than 18V, the minimum voltage of the test shall be 1.2 times the maximum charge voltage.

Tests are to be conducted at ambient temperature. The duration of the test shall be 24 hours.

SANYO Internal Procedure:

| | |
|---------------------|--------|
| Min.Charge Voltage: | 22 V |
| Charge Current: | 3.15 A |

4.Test Requirements:

There is no disassembly and no fire within seven days of the test.

5.Test Date: 2013/04/02~2013/04/11

6.Test Data

| Battery No. | | Event | Result | Judgement |
|--|---|-------|--------|-----------|
| At first cycle,in fully charged states | 1 | 0 | PASS | PASS |
| | 2 | 0 | PASS | |
| | 3 | 0 | PASS | |
| | 4 | 0 | PASS | |
| After 50 cycles ending in fully charged states | 5 | 0 | PASS | |
| | 6 | 0 | PASS | |
| | 7 | 0 | PASS | |
| | 8 | 0 | PASS | |

Notes: D-Disassembly, F-Fire, 0-No disassembly & no fire

UN Test Data (Model:4UPF4256120-1-T1141)

1.Test Item:Forced discharge (T8)

2.Test Purpose:

This test evaluates the ability of a primary or a rechargeable cell to withstand a forced discharge condition.

3.Test Procedure:

Each cell shall be forced discharged at ambient temperature by connecting it in series with a 12V D.C. power supply at an current equal to the maximum discharge current specified by the manufacturer.

The specified discharge current is to be obtained by connecting a resistive load of the appropriate size and rating in series the test cell. Each cell shall be forced discharged for a time interval (in hours) equal to its rated capacity divided by the init test current (in ampere).

4.Test Requirements:

No disassembly and no fire during the test and within seven days after the test.

5.Test Date: 2011/03/21-2011/03/29

6.Test Data

| Cell No. | Maximum Temperature(°C) | Other event | Result | Judgement |
|--|-------------------------|-------------|--------|-----------|
| At first cycle, in fully discharged states | 1 | 62.1 | 0 | PASS |
| | 2 | 57.3 | 0 | PASS |
| | 3 | 65.6 | 0 | PASS |
| | 4 | 62.3 | 0 | PASS |
| | 5 | 63.8 | 0 | PASS |
| | 6 | 63.5 | 0 | PASS |
| | 7 | 57.6 | 0 | PASS |
| | 8 | 63.4 | 0 | PASS |
| | 9 | 63.6 | 0 | PASS |
| | 10 | 58.9 | 0 | PASS |
| After 50 cycles ending, in fully discharged states | 11 | 47.2 | 0 | PASS |
| | 12 | 65.3 | 0 | PASS |
| | 13 | 69.4 | 0 | PASS |
| | 14 | 68.7 | 0 | PASS |
| | 15 | 64.9 | 0 | PASS |
| | 16 | 51.8 | 0 | PASS |
| | 17 | 67.2 | 0 | PASS |
| | 18 | 58.4 | 0 | PASS |
| | 19 | 52.7 | 0 | PASS |
| | 20 | 60.5 | 0 | PASS |

Notes: D-Disassembly, R-Rupture, F-Fire, 0-No disassembly, no rupture & no fire