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# Audit Report

## Electrostatic Discharge Control Program

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### Section 1: Basic audit data 基本审核数据

<b>Client Name and Type /客户名称及类别</b>		<b>Client ID#/客户编号:</b>	
PCX, Inc.		<input type="checkbox"/> Manufacturer <input checked="" type="checkbox"/> Distributor	
<b>Address/地址:</b>		<b>Audit Criteria 审核准则:</b>	<input checked="" type="checkbox"/> ANSI ESD/S20.20 - 2021 <input type="checkbox"/> IEC 61340-5-1 Edition 3.0
18281 Enterprise Ln., Huntington Beach, California, 92648, United States		<b>Date of audit/审核日期:</b>	January 16, 2026
		<b>No. of Employee</b>	7
		<b>ESD Program Manager</b>	Ed Dimmler, Victor Tapia
<b>Audit Activity 审核活动</b>	<input type="checkbox"/> initial assessment (prior to certification) <input checked="" type="checkbox"/> on-going assessment (to maintain certification)		
<b>Audit Objective 审核目的</b>	The ESD audit was conducted in accordance with the ESD standard. This included the review of the ESD Control Plan, including the training plan, product qualification, verification plan, associated technical elements and the monitoring and measuring equipment used to comply with the verification plan.  This audit included a review of the controls and interactions between functions and the impacts of these processes on internal and external customers. Details regarding the personnel interviewed and objective evidence reviewed are noted in checklist and maintained by Intertek.		
<b>Audit Team/审核组</b>			
Lead Auditor/审核组长		Gary Gee	
On-site Audit-Day(s)现场人天		0.75 Days	
Off-site Audit-Day(s)非现场人天		0.25 Days	
Observer (if needed)观察员(适用时)		N/A	
Interpreter (if needed) 翻译(适用时)		N/A	

<b>Scope of certification (if applicable specify scope for each cite and each standard)</b> 认证范围 (必要时, 请列出每个标准和每个现场所对应的具体认证范围)	
The ESD Program covers the Distribution of Electronic Components.	
<b>Any Exclusion &amp; Justification</b> 任何删减及合理性说明:	N/A

### Section 2: Overall Results and Recommendation 整体结果及推荐意见

<input checked="" type="checkbox"/> SAR issued, indicating compliance with ANSI/ESD S20.20 or IECQ Approved Process Requirements and IEC 61340-5-1 recommending that Certification be issued/maintained*
<input type="checkbox"/> SAR issued, indicating general compliance with ANSI/ESD S20.20 or IECQ Approved Process Requirements and IEC 61340-5-1, even if minor non conformances are raised, recommending that Certification be issued/maintained* following receipt of satisfactory <input type="checkbox"/> documentary evidence supporting effective corrective action. Corrective action to be verified at next surveillance visit.

- SAR issued, indicating Non-compliance with ANSI/ESD S20.20 or IECQ Approved Process Requirements and IEC 61340-5-1, due to Major Non-conformances being raised, recommending that Certification be issued only after a satisfactory follow-up visit. Operations cannot be claimed as being covered by IECQ ESD Approved Process Certification until a follow up visit is conducted (must be within 2 calendar months of assessment):** Follow up visits are required to verify that corrective actions have been effectively documented and implemented. In such situations the following shall be observed:
- a) For surveillance assessment, the IECQ CB shall determine the need any non-complying product released to the market, to be traced and re-assessed. The IECQ CB shall further determine whether the IECQ ESD Approved Process Certification shall be suspended or cancelled
  - b) For initial assessments, the certification application process shall not proceed until a successful follow up site visit has been conducted by the IECQ CB.

This report was prepared by: **Gary Gee**, Dated: January 16, 2026

签署

本报告由 审核员姓名 编制于 日期 。

### Section 3: Executive summary 实施情况总结

<b>Strengths 优势</b>	Stable ESD program
<b>Weaknesses 劣势</b>	None identified
<b>Opportunities 机会</b>	Consider calibration of equipment not currently being used but past due. Ensure calibration maintained before equipment is needed.
	Consider identifying clearer ESD areas and work benches to control and manage areas only needed for ESDS usage.  Consider some type of ESD awareness for other employees not directly involved in ESDS activity but has access into the ESD areas.
<b>Threats 威胁</b>	None identified.

**Disclaimer 免责声明:**

- The auditing is based on a sampling process of the available information provided by auditee and that consequently there will always be an element of uncertainty present in auditing evidence, which may be reflected in the audit findings. Those relying or acting upon the audit results and conclusions should be aware of this uncertainty.  
该审核是基于对被审核方所提供的信息的抽样过程，因而收集的审核证据会有一定的不确定性，可能会在审核发现中体现。依据此提出的审核结果和结论应意识到这种不确定性。
- The recommendation from the audit will be subject to an independent review, prior to final decision is made concerning the awarding or maintenance of certification.  
审核推荐意见将在做出同意授予或保持认证的最终决定之前进行独立的评审。
- The report is treated in a strictest confidence and will not disclose to any third-party without written consent of the customer, except as required by accreditation body.  
该报告应予保密。未经受审核方书面同意（除由认可机构要求外），不得向任何第三方披露。

**Section 4: Findings summary 审核发现总结**

See attached findings for further details. 具体内容请参见附上的审核发现

Nonconformity only 仅限不符合项	Major Issued 开出的 严重不符合项	Major Closed 关闭的 严重不符合项	Minor Issued 开出的 轻微不符合项	Minor Closed 关闭的 轻微不符合项	# Open NC's 未关闭的 不符合项
Previous Activity 上次审核活动	0	0	0	0	0
Current Activity 当前审核活动	0	0	0	0	0

**Section 5: Client's acknowledgement 客户确认**

The client acknowledges the content in the report, including audit findings. 客户确认已收悉该报告中的内容，包括审核发现。	
<b>Name of Management Representative 管理者代表姓名</b>	Ed Dimmler, Victor Tapia
<b>Report acknowledged by 报告签收人 (if different)(如果与管理者代表不是同一人)</b>	Victor Tapia

**Section 6: Assessment DATA**

**Interviewed representatives of Organisation (auditee):**

Victor Tapia

Patrick Hartnett

**Reference documents used:**

ESD S20.20-2021

PCX Inc. Corporate ESD Program Manual SM-02 Rev. E

WI714-3

WI714-5

WI714-6

QML-01

**QMS Certification Status**

**Documentation Review and Assessment of Implementation**

**6.1 ISO 9001 QMS assessment**

**QMS Certification Status:**  **Registered**  **Not Registered**

ISO 9001:2015 and AS 9120:2016 registered by NQA, Certificate No. 21250 with an expiry date of 12/9/2026.

Below processes were reviewed to ensure which has been established, implemented and maintained the effectiveness to the ESD Control Program.

ISO 9001:2015 clauses		Assessed (Y, N or N/A)	Organisation's Doc. Ref. List organisations document(s) viewed, with revision status and Comments. List any pertinent details / compliance with requirements of clause and comments of the Assessor	NCR Ref.
7.1.5	Monitoring and Measurement Resources	Y	Equipment observed calibrated and maintained. Except 2 devices due in 12/2/2025 that is not currently in use.	
8.7	Control of nonconforming outputs	Y	Conducted per QMS program. No ESD nonconforming issues identified.	
9.2	Internal audit	Y	Conducted per QMS program. Verification activity onducted.	
9.3	Management review	Y	Conducted per QMS program.	
10.2	Nonconformity and corrective action	Y	Conducted per QMS program. No ESD nonconforming issues or corrective action issues identified.	

**6.2 ANSI/ESD S20.20 – 2021**

**6.3 IEC 61340-5-1 REQUIREMENTS**

The audit details were noted in ESD S20.20 Checklist and enclosed in audit package.

## **Section 7: Expected Next Visit**

Audit duration: 0.75/0.25 Days Onsite/Offsite

Audit date: January 16, 2027