

## SunSpec Alliance Certification Mark License Agreement

This License Agreement (“**Agreement**”) is entered into effective as of the “Effective Date” as defined herein by and between SunSpec Alliance, a California nonprofit mutual benefit corporation, and the applicant submitting the license request to use the “Certification Mark(s)” identified herein (“**Licensee**”).

### BACKGROUND

SunSpec Alliance owns the marks shown on **Exhibit A** and defined herein as the “Certification Marks” which, subject to the terms and conditions of this Agreement, it licenses as certification marks to its members to identify products that SunSpec Alliance has certified. Licensee is a member of SunSpec Alliance that wishes to obtain a license to use the Certification Mark(s) and SunSpec Alliance is willing to grant the license, subject to the terms and conditions herein.

### AGREEMENT

1. **Definitions.** For purpose of this Agreement:

(a) “**Application**” means the online application that Licensee submitted at [www.SunSpec.org](http://www.SunSpec.org) requesting the licenses granted herein.

(b) “**Certification**” consists of the technical process in which Licensee submits its product for certification testing at SunSpec Alliance’s designated Authorized Test Laboratories (ATL), the testing process by which SunSpec Alliance confirms that the product meets the certification requirements, and the administrative process by which SunSpec Alliance determines that Licensee is a member in good standing and authorizes the issuance of the certification. For purposes of this Agreement, “Certification” has occurred only after Licensee’s product has successfully passed certification testing, as confirmed to it by SunSpec Alliance, *and* SunSpec Alliance has issued its final formal certification authorization to Licensee in accordance with its standard administrative practices.

(c) “**Certified Product**” means a product employing the specification or standard that has successfully completed the Certification process.

(d) “**Certification Mark(s)**” means the mark(s) identified on **Exhibit A** hereto and any additional certification marks that SunSpec Alliance may adopt in the future.

(e) “**Effective Date**” shall have the meaning given in Section 10(a).

(f) **“Execute,” “Executes,” “Executed,” and “Executing”** each means to agree by action or electronic transmission to be bound by the terms, conditions and provisions of this Agreement. This Agreement is Executed by Licensee upon Licensee’s electronic acknowledgment of the Agreement’s terms as part of the Application. This Agreement is Executed by SunSpec Alliance when SunSpec Alliance transmits a copy of the Agreement to Licensee after Licensee’s Execution of it as part of the Application.

(g) **“Manual”** means the SunSpec Certified Mark Use Guidelines, available for download while completing the Application and on the members-only portion of the SunSpec Alliance Website.

## 2. Certification Mark License.

(a) **License Grant.** Provided that Licensee complies with the terms, conditions and provisions of this Agreement:

(i) **Materials Preparation License.** SunSpec Alliance hereby grants to Licensee a limited right to use the Certification Mark(s) prior to Certification for its internal purposes only in connection with each product that Licensee intends to submit for Certification within a reasonable period of time not to exceed six (6) months. The scope of this license is limited to the preparation of labels, packaging, marketing materials and other materials that Licensee intends to use with the product should it successfully complete Certification. All such materials shall comply with the requirements of the Manual and this Agreement. Licensee may not use or display any Certification Mark publicly on such materials or in connection with the product that it intends to submit for Certification until such time as the product becomes a Certified Product. If Licensee does not obtain Certification for its product for any reason, Licensee shall immediately upon its abandonment of Certification efforts destroy all materials prepared under this license.

(ii) **Certified Product License.** SunSpec Alliance hereby grants Licensee a limited, non-exclusive, worldwide, revocable, non-transferable, royalty-free license, with limited right of sublicense solely as provided in Section 2(a)(iii), to use the Certification Mark(s) on or in connection with its Certified Products.

(iii) **Sublicense Grant.** SunSpec Alliance hereby grants to the Licensee a limited, non-exclusive, worldwide, revocable, non-transferable license to sublicense the Certification Mark(s) to third parties with which Licensee has contracted to advertise, promote or market the Certified Products. Licensee shall require all such third parties to agree in writing to all terms and conditions necessary and

appropriate to protect SunSpec Alliance's right, title and interest to the Certification Mark(s), which shall include, but not be limited to, all applicable terms and conditions of this Agreement, and which shall provide that SunSpec Alliance shall be a third-party beneficiary of each such agreement.

(b) **Reservation of Rights.** Except for the limited license rights granted herein, SunSpec Alliance reserves to itself all right, title and interest in and to the Certification Marks.

**3. License Requirements and Limitations.** The licenses granted pursuant to Section 2 are granted subject to the following requirements and limitations:

(a) **Compliance with Manual.** Licensee shall comply with all requirements in the Manual. Licensee is solely responsible for keeping itself informed of the current requirements in the Manual by reviewing from time to time the version posted on the SunSpec Alliance Website ([www.SunSpec.org](http://www.SunSpec.org)) and for making any necessary changes to its practices to remain in compliance with any revisions to the Manual. SunSpec Alliance is under no obligation to inform Licensee of changes to the Manual other than by posting the revised version on its Website, but SunSpec Alliance agrees to refrain from taking action without prior affirmative notice to Licensee if the provision upon which the SunSpec Alliance action is to be based is materially different from the Manual that is applicable to this Agreement on the Effective Date. If Licensee does not agree with any changes to the Manual, Licensee's sole remedy is to terminate this Agreement as provided herein.

(b) **Certification Requirements.** Licensee shall at all times comply with all requirements of Certification as SunSpec Alliance may communicate to it in connection with the Certification authorization and otherwise.

(c) **Product Name Changes.** Licensee will notify SunSpec Alliance in writing of any change to the name of the Certified Product and will not adopt a name for the Certified Product that may cause confusion as to the Certification status of any feature or function of the Certified Product.

(d) **Product Modification.** Licensee shall not modify the Certified Product in any manner that results in more than an immaterial change in features, function, or performance, without disclosing such modifications to SunSpec Alliance in writing and re-submitting the Certified Product for Certification at Licensee's sole cost and expense if SunSpec Alliance in its sole discretion determines that re-testing is warranted.

(e) **Combination of Modules with Other Products.** If the Certified Product consists of a product module that was initially tested in combination with one or more specific devices, Licensee shall not use the Certified Product with different devices without first notifying SunSpec Alliance in writing of such

substitution and providing SunSpec Alliance with details concerning the substituted devices and written assurances that the use of substituted devices will not affect in more than an immaterial degree the performance and functionality of the Certified Product. Licensee agrees to comply with SunSpec Alliance's requests for additional information regarding the substituted devices and, at its sole cost and expense, to re-submit the Certified Product for Certification if SunSpec Alliance in its sole discretion determines that re-testing is warranted.

(f) **Membership Status.** Licensee will maintain its SunSpec Alliance membership in good standing at all times while it is using any Certification Mark.

(g) **Certain Geographic or Usage Limitations.** In the event SunSpec Alliance determines that use of the Certification Mark(s) may in any particular manner or jurisdiction violate any applicable laws or regulations, be contrary to public policy or may subject Licensee or SunSpec Alliance to any third party claims, legal proceedings, governmental investigations or proceedings, penalties or liabilities, Licensee agrees, upon receipt of notice and request from SunSpec Alliance, to promptly cease and desist from all use of the Certification Mark(s) in such particular manner or jurisdiction.

(h) **Control.** SunSpec Alliance shall have absolute determination and control, in its sole discretion, over the design, redesign, modification, change, enhancement, improvement, authorized or unauthorized use, manner and degree of application, manner and extent of registration, maintenance, protection, enforcement, ownership, licensing, use and termination of the Certification Marks, the Manual, and its process for certifying Products and Services.

(i) **Specific Use Restrictions.** The licenses granted in Section 2 may be used solely in connection with the Certified Products and are subject to the restrictions and obligations of Licensee set forth in this Agreement, including, without limitation, the following:

(i) Licensee shall not modify, enhance or change any Certification Mark or combine it with another mark, or use, adopt or register any marks confusingly similar to any Certification Mark.

(ii) Licensee shall not omit portions or use a partial version of any Certification Mark.

(iii) Licensee shall not use any Certification Mark, or any portion thereof, as a domain name, including, without limitation, as a sub-domain name or name of the service or company.

(iv) Licensee shall not use any Certification Mark: (a) in any manner

that is likely to reduce, diminish or damage the goodwill, value or reputation associated with the Certification Mark; (b) in any manner as would violate the rights of any third parties; (c) in any manner as would result in any third party claim or in any governmental investigation, claim or proceeding alleging unlawful or improper use of the Certification Mark; (d) on or in connection with any products or services other than the Certified Products and promotional materials pertaining to the Certified Products; or (e) in any manner other than as a certification mark.

(j) **Inspection.** Licensee will, upon SunSpec Alliance's request and at no cost to SunSpec Alliance, provide SunSpec Alliance with a reasonable number of samples of the Certified Product within ten (10) business days from receipt of its written request.

(k) **Nonconforming Products.** If at any time the Certified Product fails in more than an immaterial degree to conform to the standards and specifications that were the basis for the Certification, Licensee will immediately cease all use of the Certification Marks on its undistributed Certified Product units. Upon request of SunSpec Alliance, Licensee will also notify all distributors and customers who may have non-compliant Certified Product units and advertising therefore bearing any Certification Mark.

(l) **Third-Party Infringement.** Licensee will promptly notify SunSpec Alliance if it becomes aware of any infringement of any Certification Mark by a third party. Licensee shall have neither the right nor the obligation to prosecute any infringement claims against third-party infringers.

(m) **Noncompliance.** Licensee shall immediately and at its sole cost and expense correct any usage of the Certification Mark(s) that SunSpec Alliance regards as failing to comply with the requirements of this Agreement or the Manual.

(n) **Use of "SunSpec."** Nothing in this Agreement gives Licensee the right or license to use the mark "SunSpec" apart from the marks as shown in **Exhibit A**. Any use of such mark shall occur only if and to the extent permitted by the Manual or a separate agreement between Licensee and SunSpec Alliance. Licensee shall not use "SunSpec" except as permitted therein.

(o) **Unauthorized Use of the Certification Mark(s) by Licensee.** Licensee acknowledges that if it engages in any unauthorized use or reference to any Certification Mark, its right to continue using the Certification Marks may be terminated. Licensee further acknowledges that SunSpec Alliance will be irreparably injured if such unauthorized use continues.

- (p) **Relationship of Agreement and SunSpec Alliance Membership.** This Agreement constitutes a portion of the “rules and regulations” of SunSpec Alliance as contemplated by SunSpec Alliance’s Bylaws. Licensee acknowledges that a breach of this Agreement is also a breach of those rules and regulations and may give rise to the suspension or termination of Licensee’s membership in SunSpec Alliance.

4. **License Fees and Royalties.** The licenses granted hereunder are fully paid and without royalty.

5. **SunSpec Alliance Ownership of the Certification Mark(s).** Licensee acknowledges SunSpec Alliance’s exclusive right, title, and interest in and to the Certification Marks and acknowledges that nothing herein shall be construed to accord to Licensee any rights in the Certification Marks except as otherwise expressly so provided. Licensee acknowledges that its use of the Certification Marks hereunder will not create in it any right, title or interest in the Certification Marks other than the limited license rights granted herein and that all such use of the Certification Marks and the goodwill generated thereby will inure to the benefit of SunSpec Alliance. Should SunSpec Alliance, in its sole discretion, deem it necessary to record Licensee as a registered licensee of any Certification Mark in any jurisdiction, it shall do so at Licensee’s expense (provided that Licensee may avoid such expenses by covenanting in an amendment to this Agreement that it will not use the Certification Mark in such countries), and Licensee will cooperate with SunSpec Alliance to effect such recordation. Licensee warrants and represents with respect thereto that (a) it will not at any time challenge SunSpec Alliance’s right, title, or interest in any Certification Mark or the validity of the Certification Marks or any registration thereof; (b) it will not do or cause to be done or omit to do anything, the doing, causing, or omitting of which would contest or in any way impair or tend to impair the rights of SunSpec Alliance in the Certification Marks; (c) it will not represent that it has any ownership in or rights with respect to any Certification Mark; and (d) it will not, either during or subsequent to the term of this Agreement, adopt, use, or register any certification mark, trademark, service mark, trade name, insignia or logo that is confusingly similar to or a colorable imitation of any Certification Mark or any of SunSpec Alliance’s other marks.

6. **Representations of Licensee.** Licensee represents and warrants that:

- (a) It is duly organized and in good standing under the laws of its jurisdiction of organization;
- (b) Licensee has taken all actions that are necessary or advisable in order for it to enter into this Agreement;
- (c) The person Executing this Agreement on behalf of Licensee is authorized to do so;

(d) The Agreement, upon its Execution by Licensee (and assuming due Execution by SunSpec Alliance) shall be the binding obligation of Licensee, enforceable in accordance with its terms;

(e) Each Certified Product unit that it sells or distributes to the public will substantially conform to the specifications of the product unit that Licensee submitted for Certification;

(f) Licensee will comply with all changes to the Manual and the Certification requirements within three (3) months from the date of receipt of written notice of such changes; and

(g) Licensee will not challenge SunSpec Alliance's rights under its Certification program, the Manual, or this Agreement and will not challenge the validity of any SunSpec Alliance mark.

**7. No Warranty by SunSpec Alliance.** SunSpec Alliance provides the licenses granted hereunder without warranty of any kind. TO THE MAXIMUM EXTENT PERMITTED BY LAW, SUNSPEC ALLIANCE DISCLAIMS ALL EXPRESS, IMPLIED AND STATUTORY WARRANTIES.

**8. Limitation of Liability.** IN NO EVENT SHALL SUNSPEC ALLIANCE BE LIABLE FOR LOST PROFITS OR SPECIAL, INCIDENTAL OR CONSEQUENTIAL DAMAGES ARISING OUT OF OR IN CONNECTION WITH THIS AGREEMENT REGARDLESS OF THE LEGAL THEORY UPON WHICH SUCH CLAIM IS BASED AND EVEN IF SUNSPEC ALLIANCE HAS BEEN ADVISED OF THE POSSIBILITY THEREOF.

**9. Indemnity.** Licensee agrees to defend, indemnify and hold SunSpec Alliance and its respective representatives, employees, officers, directors and agents harmless against all claims, suits, costs, damages, judgments, attorney's fees, settlements or expenses incurred caused by, arising from or relating to any breach of this Agreement by Licensee or claimed, obtained or sustained by any third party, whether for personal injury, misrepresentation, or otherwise arising out of or relating to the manufacture, advertising, promotion, use, marketing or sale of the Certified Products, provided such claims are not caused by SunSpec Alliance's negligence or breach of this Agreement.

**10. Effective Date, Term and Termination.**

(a) **Effective Date.** This Agreement shall commence and the licenses granted hereunder shall become effective (the "**Effective Date**") upon the Execution of this Agreement by both parties.

(b) **Term.** The term of this Agreement shall commence on the Effective Date and shall continue until terminated by a party as provided herein.

**(c) Termination.**

(i) **Termination by Licensee.** Licensee may terminate this Agreement at any time by providing notice to SunSpec Alliance and by discontinuing all use of the Certification Marks. Termination in this manner shall be effective upon receipt of the notice by SunSpec Alliance or at such time (not to exceed thirty (30) days) specified in the notice from Licensee.

(ii) **Termination by SunSpec Alliance.** SunSpec Alliance may terminate this Agreement upon thirty (30) days' notice if Licensee breaches any provision of this Agreement and fails to cure such breach within such thirty (30)-day period. SunSpec Alliance may terminate this Agreement upon written notice if Licensee ceases to be a member in good standing of SunSpec Alliance. SunSpec Alliance may terminate this Agreement for convenience upon not less than thirty (30) days' written notice to Licensee if Licensee discontinues its use of Certification Marks.

(iii) **Consequences of Termination.** Upon termination of this Agreement, the licenses and all sublicenses granted hereunder shall immediately terminate. Licensee will immediately discontinue all use of the Certification Marks and shall immediately cause each sublicensee of any Certification Mark to discontinue its use. Licensee and its sublicensee(s) shall thereafter immediately destroy all materials in their possession containing any Certification Mark and shall certify to the destruction of such materials if SunSpec Alliance requests that they do so.

11. **Compliance with Laws.** Licensee will at all times comply with all laws, regulations, ordinances, rules and orders that are applicable to it in connection with its manufacture and sale of the Certified Product and the operation of its business generally.

**12. Miscellaneous.**

(a) **Governing Law.** This Agreement will be governed by and construed in accordance with the laws of the State of California as applied to agreements entered into and fully performed therein by residents thereof. Both parties submit to jurisdiction in California and further agree that any cause of action arising under this Agreement shall be brought in a court in the County of Santa Clara, California.

(b) **Severability; Headings.** If any provision herein is held to be invalid or unenforceable for any reason, the remaining provisions will continue in full force without being impaired or invalidated in any way. Headings are for



reference purposes only and in no way define, limit, construe or describe the scope or extent of such section.

(c) **Independent Contractors.** The parties are independent contractors, and no agency, partnership, joint venture, employee-employer or franchisor-franchisee relationship is intended or created by this Agreement. Neither party shall make any warranties or representations on behalf of the other party.

(d) **Notice.** SunSpec Alliance may give notice to Licensee by personal delivery, mail, courier, or facsimile to Licensee's physical address as identified in SunSpec Alliance's membership records or by email to the email address identified in the Application. Licensee may give notice to SunSpec Alliance by personal delivery, mail, courier, or facsimile to SunSpec Alliance's physical address as identified at [www.SunSpec.org](http://www.SunSpec.org) or electronically by email to [info@sunspec.org](mailto:info@sunspec.org). Notice shall be deemed given: upon personal delivery; if sent by fax, with confirmation of correct transmission, on the next business day after it was sent; upon the courier's confirmed delivery if sent by courier; and if sent by mail with proper postage prepaid, five (5) days after the date of mailing. Notices by email shall be deemed given by the end of the business day on which they are sent.

(e) **Entire Agreement; Waiver.** This Agreement sets forth the entire understanding and agreement of the parties and supersedes any and all oral or written agreements or understandings between the parties as to the subject matter of this Agreement. This Agreement may be changed only by a writing Executed by both parties that expressly states that it is changing the provisions of this Agreement. The waiver of a breach of any provision of this Agreement will not operate or be interpreted as a waiver of any other or subsequent breach.

(f) **Assignment.** Licensee may not transfer its rights or obligations under this Agreement in whole or in part to any third party without the prior written consent of SunSpec Alliance and any attempt to do so is void.

(g) **Counterparts.** This Agreement may be Executed in two or more counterparts, each of which shall be deemed an original, but all of which shall constitute one and the same instrument.

IN WITNESS WHEREOF, the parties have caused this Agreement to be Executed by their duly authorized representatives.

## Exhibit A Certification Marks

### [SunSpec IEEE 2030.5 / CSIP](#)



California Rule 21 requires that Distributed Energy Resources in Investor Owned Utility regions must utilize the IEEE 2030.5-2018 networking standard in the manner described in the Common Smart Inverter Profile (CSIP). The test specification for this certification is the SunSpec Common Smart Inverter Profile Conformance Test Procedure.

### [SunSpec Rapid Shutdown](#)



NEC 2017 requires PV modules to be able to be individually de-energized within 30 seconds of an emergency event. The certification verifies the successful implementation of the SunSpec Communication Signal for Rapid Shutdown Testing Specification, resulting in an easy-to-use, multi-vendor communication solution that supports this function.

### [SunSpec Modbus](#)



SunSpec Modbus is an open standard, referenced in IEEE 1547-2018, that enables interoperability amongst DER system components, including power conversion devices (inverters), batteries, meters and other sub-system components.