

Report Number: QIP-ASI2141964

Audit Date : 13 Jan.,2022

This report is issued by Focus Technology Co., Ltd. (Made-in-China.com) and the supervising inspectorate (SGS-CSTC Standards Technical Services Co., Ltd.) to confirm that:

Company Name : Shanghai Mega-9 Optoelectronic Co., Ltd.
上海兆九光电技术有限公司

Showroom : <https://mega-9.en.made-in-china.com>

Address : 3f, Building 12, No. 85, Mingnan Road, Songjiang District, Shanghai, China

Product : Optical Filters, Bandpass Filters, Edge Filters, Dichroic Beamsplitters, Beamsplitter Cubes

has been on site audited for the Following Scope of Activity

1. General Information
2. Foreign Trade Capacity
3. Product Research & Development Capacity
4. Management System and Product Certification
5. Production Capacity & Quality Control
- the audit content of this part relates only to its subsidiary
6. Financial Position
7. Working Environment
8. Energy Saving and Emission Reduction
9. Photos



General Comments:

Shanghai Mega-9 Optoelectronic Co., Ltd. is a trade and R&D center with 10 employees; it was established in 2006, located in 3f, Building 12, No. 85, Mingnan Road, Songjiang District, Shanghai, China. The office occupies an area of 500 square meters. They have passed ISO9001 certification. Shanghai Mega-9 Optoelectronic Co., Ltd. has successful foreign trading experience in Europe, North America, Africa, Mideast and Asia.

Jiangxi Mega-9 Optoelectronic Co., Ltd. is a wholly owned subsidiary of Shanghai Mega-9 Optoelectronic Co., Ltd.

Jiangxi Mega-9 Optoelectronic Co., Ltd. is a manufacturer with 30 employees, located in Building 5, Songjiangzhiguang, Chuanggu 1 Road, Guangxin District, Shangrao, Jiangxi, China, occupied an area of 5,000 square meter building, and had passed ISO9001 certification.



Sign for and on behalf of
SGS-CSTC Standards Technical Services Co., Ltd.

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SGS-CSTC Standards Technical Services Co., Ltd.
Consumer and Technical Services

5/F, B-4 Building, Zijin (Baixia) Technology Incubation Special Park, No.1 Guanghua Road, Nanjing, China 210014 t (86-25) 87128385 f (86-25) 83407773 www.sgsgroup.com.cn
中国·南京·秦淮区光华路1号紫金白下创业特别社区4号楼B幢5楼 邮编: 210014 t (86-25) 87128385 f (86-25) 83407773 e as.cn@sgs.com

SUPPLIER ASSESSMENT REPORT

Audited Company	Shanghai Mega-9 Optoelectronic Co., Ltd.		
Audited Site:	3f, Building 12, No. 85, Mingnan Road, Songjiang District, Shanghai, China		
Consigner of Assessment	Made-in-China.com		
Audit Type	<input checked="" type="checkbox"/> Initial Audit <input type="checkbox"/> Re-audit		
Audit Date	31 Dec.,2021	Verify Report	http://www.sgs.com/ecv
Auditor	Larry Chang	Reviewed by	Toby Han

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Part A: General Information

Section 1: Company Overview

1.1 Legal Validity			
Does the company have a valid business license?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Others	Registration Number	91310117789516484Q
Year of established	31 May,2006	Valid Date	30 May,2036
Registered address	Rm. 104, Floor 1, Building 13, No. 68 Zhongchuang Road, Songjiang District, Shanghai, China		
Actual address	3f, Building 12, No. 85, Mingnan Road, Songjiang District, Shanghai, China		
Does the company in abnormal operation status list of industrial and commercial bureau?	Yes On 17 Jul., 2018, punished by Songjiang District Market Supervision and Administration Bureau, Shanghai.		
Registered capital	1,000,000 RMB		
Name of legal representative	Ms. Yuqin Sun		
Business scope	Technology development, technical consultation, technical services and technology transfer in the field of optoelectronic technology; Sales of lamps, optical elements, mechanical equipment, and electronic components; Import and export of goods and technologies. (Legally subject to the approval of the project before doing business after the approval of the relevant department.)		
1.2 Basic Information			
Contact person	Ms. Luo		
Phone number	0086-13918748495	Fax number	N/A
URL/Web address	http://www.mega-9.com		
Company type	<input checked="" type="checkbox"/> Manufacturer <input type="checkbox"/> Trading Company <input type="checkbox"/> Combined <input type="checkbox"/> Group Corporation		
Type of ownership	<input checked="" type="checkbox"/> Limited Company <input type="checkbox"/> Public Company <input type="checkbox"/> Foreign joint venture <input type="checkbox"/> State-Owned <input type="checkbox"/> Private Owner <input type="checkbox"/> Wholly foreign-owned enterprises		
Associated company	<ul style="list-style-type: none"> ■ Audited company : Shanghai Mega-9 Optoelectronic Co., Ltd. ■ Associated company: Jiangxi Mega-9 Optoelectronic Co., Ltd. ■ The relationship of two companies: <input checked="" type="checkbox"/> One company has 100% shares of another company 		
Products manufactured / sold scope	Optical Filters, Bandpass Filters, Edge Filters, Dichroic Beamsplitters, Beamsplitter Cubes		
1.3 Company Building Information			
According to:			
<input type="checkbox"/> Land certificate <input type="checkbox"/> Real estate certificate <input type="checkbox"/> Lease agreement <input checked="" type="checkbox"/> Observation Estimated on site			
The company area 500 square meters			
The land occupies / square meters. (Confidential)			
The offices occupy 500 square meters.			
The workshops occupy / square meters. (N/A)			

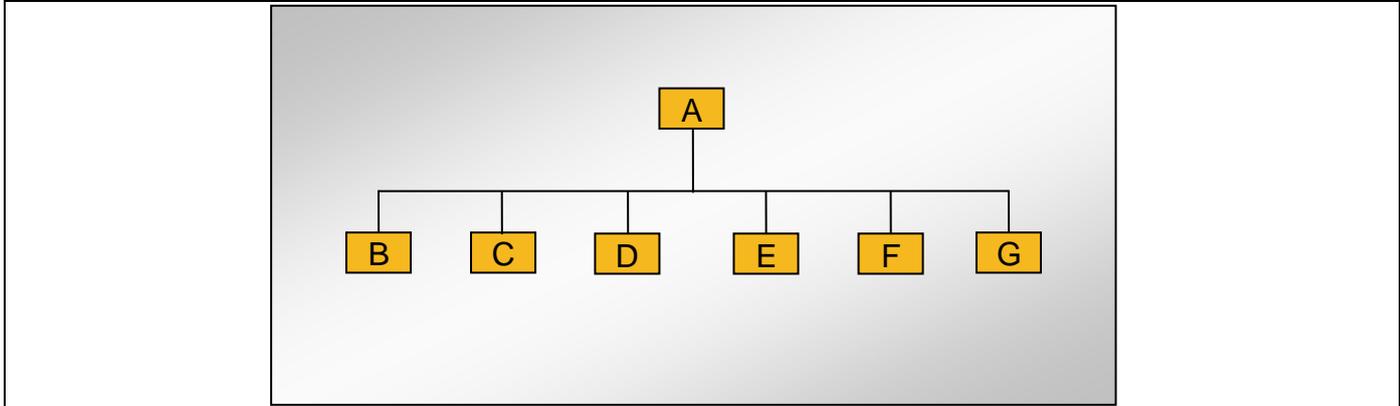


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Section 2: Human Resources

2.1 Company Chart



2.2 Explanation of Code and Employee Details

Code	Department	Number of employees
A	GM	1
B	Admin. Dept.	1
C	Finance Dept.	1
D	Sales Dept.	3
E	Technology Dept.	2
F	Purchase Dept.	1
G	Warehouse Dept.	1
Number in total:		10

2.3 Key Staff

Title	Full name	Education	Working experience for this trade / total experience
GM	Ms. Luo	University	25 / 25 years

Remark: Above information of key staff was based on interview with company representative.



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Part B: Foreign Trade Capacity

Section 1: Export Overall Situation

1.1 Export Overall Situation	
Does the company have a valid Import and Export license?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
The import and export enterprise code.	3100789516484
The number of foreign trading staff with relevant trading experience.	<input type="checkbox"/> within 1 year staff <input type="checkbox"/> 1-5 years staff <input type="checkbox"/> 6-10 years staff <input checked="" type="checkbox"/> over 10 years 2 staffs Total 2 staffs
The language freely used by foreign trade staff	<input checked="" type="checkbox"/> English <input type="checkbox"/> others:
Annual revenue of previous year	Confidential
Annual export revenue of previous year	Confidential
Estimated export revenue for this year.	Confidential
Overseas agent / branch	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Nearest port	Shanghai Port
Acceptable quotation terms	<input checked="" type="checkbox"/> FOB <input checked="" type="checkbox"/> CIF <input checked="" type="checkbox"/> CFR
Acceptable payment terms	<input type="checkbox"/> LC <input checked="" type="checkbox"/> T/T <input type="checkbox"/> D/P <input type="checkbox"/> PayPal <input type="checkbox"/> Western Union <input type="checkbox"/> Small-amount payment
Average lead time (Peak Season)	<input type="checkbox"/> within 15 workday <input checked="" type="checkbox"/> one month <input type="checkbox"/> 2-3 months <input type="checkbox"/> 4-6 months <input type="checkbox"/> 6-12 months <input type="checkbox"/> more time
Average lead time (Off Season)	<input checked="" type="checkbox"/> within 15 workday <input type="checkbox"/> one month <input type="checkbox"/> 2-3 months <input type="checkbox"/> 4-6 months <input type="checkbox"/> 6-12 months <input type="checkbox"/> more time

Section 2: Export Business Capacity

2.1 Market Distribution (please list top three areas)		
Market	Main Product	Main client
<input checked="" type="checkbox"/> North America	Optical Filters	Confidential
<input type="checkbox"/> South America		
<input checked="" type="checkbox"/> Europe	Optical Filters	Confidential
<input checked="" type="checkbox"/> Southeast Asia/ Mideast	Optical Filters	Confidential
<input checked="" type="checkbox"/> Africa	Optical Filters	Confidential
<input checked="" type="checkbox"/> East Asia (Japan/ South Korea)	Optical Filters	Confidential
<input type="checkbox"/> Australia		
<input checked="" type="checkbox"/> Domestic	Optical Filters	Confidential
<input type="checkbox"/> Others		



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Section 3: Supplier Management

3.1 Supplier Management		
Item	Content	Observations /Comments
1	Does the company establish and implement an effective suppliers' assessment procedure?	<input checked="" type="checkbox"/> Have the written procedures and followed records <input type="checkbox"/> Have the written procedures but no records <input type="checkbox"/> Have relevant records without written procedure <input type="checkbox"/> No written procedures or followed records <input type="checkbox"/> Other
2	Does the company have an updated list of approved suppliers?	<input checked="" type="checkbox"/> The approved suppliers list was updated in <u>2021</u> <input type="checkbox"/> Have the written suppliers without approved signature or date. <input type="checkbox"/> Provided some suppliers names <input type="checkbox"/> No approved suppliers list <input type="checkbox"/> Other

Section 4: After-sales Service Capacity

4.1 After-sales Service Capacity		
Item	Content	Observations /Comments
1	Is there a procedure to conduct random product inspection after final packaging in place?	<input checked="" type="checkbox"/> Have clear standards and written inspection records <input type="checkbox"/> No written standards but had inspection reports <input type="checkbox"/> Have the procedures but no inspection records <input type="checkbox"/> It's not necessary to carry out the inspection <input type="checkbox"/> Other
2	Is there a clear procedure for handling customer complaints?	<input checked="" type="checkbox"/> Has the clear procedure and followed records <input type="checkbox"/> Has the procedure but no written records. <input type="checkbox"/> No written procedures or records. <input type="checkbox"/> Other
3	Can the finished/packaged product be traced by lot identification to the appropriate raw materials test reports?	<input checked="" type="checkbox"/> Have the procedures to trace the raw materials. <input type="checkbox"/> Can trace main materials <input type="checkbox"/> Can trace production date. <input type="checkbox"/> Can't trace products <input type="checkbox"/> Other
4	Are corrective & preventive actions mechanism established and implemented effectively (including the suppliers/ sub-contractors control, incoming inspection, process control, final inspection and customer complaint)?	<input checked="" type="checkbox"/> Has the clear procedure and followed records <input type="checkbox"/> Has the procedure but no written records. <input type="checkbox"/> No written procedures or records. <input type="checkbox"/> Other



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Part C: Product Research & Development Capacity

1.1 Product Research & Development Capacity	
The amount of R&D and relevant working experience.	<input type="checkbox"/> within 1year staff <input type="checkbox"/> 1-5 years staff <input type="checkbox"/> 6-10 years staff <input checked="" type="checkbox"/> over 10 years 2 staffs Total 2 engineers
What is the main job responsibility for R&D engineers?	R&D new product, Design drawing with software; and also support technology services for producing scene.
Is there any relevant design input, output, review, verification and validation documentation available for auditor to review?	Yes
Is there any special software or instrument used by the R&D staffs during the design process of new products? If yes, please list the main software or instrument.	Software: TFC, Zemax
Does the company have an effective design change control procedure in place?	Yes
Please list the patent certificates and qualification license.	patent certificates: ZL 2012 1 0366037.7, ZL 2014 1 0161296.5, etc.



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Part D: Management System and Product Certification

1.1 Management System and Product Certification	
Management system certification	<input checked="" type="checkbox"/> ISO9001:2015 certificate No.: 00920Q11460R3M Issued by: China Great Wall (Tianjin) Quality Assurance Centre Issued Date: 10 Oct.,2020 Valid Until: 09 Oct.,2023 Scope: Optical component development and sales.
Product certification	<input type="checkbox"/> CE <input type="checkbox"/> UL <input type="checkbox"/> CCC <input type="checkbox"/> RoHS <input type="checkbox"/> FCC <input type="checkbox"/> Others <input checked="" type="checkbox"/> NIL
Test reports for raw materials	<input type="checkbox"/> RoHS <input type="checkbox"/> Reach <input type="checkbox"/> Others <input checked="" type="checkbox"/> NIL



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Part E: Production Capacity & Quality Control

Remark: The audit content of this part relates only to its subsidiary (Jiangxi Mega-9 Optoelectronic Co., Ltd.)

Section 1: Production Capacity

1.1 Production Workflow Chart					
	→		→		→
Raw Material Inspection		Cleaning		Vacuum Film	
	→		→		→
Spectrum Inspection		Post-Processing		Cosmetic Inspection	
	→				
Inspection and Packing		Storage			
1.2 Products Situation (Top three Product Categories)					
Product	Price range	Min. order quantity	Top monthly output	Average monthly output	Total in 2021
<p>Bandpass filters</p>	Confidential	Confidential	Confidential	Confidential	Confidential



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1.3 Main Facilities				
Picture	Facility name	Brand or Country/Region of origin	Target Value/machine*day	Quantity
	Ultrasonic cleaning machine	N/A	N/A	1
	Coating machine	N/A	N/A	6
	Laser marking machine	N/A	N/A	1
	Post-processing equipment	N/A	N/A	5
	Spectrum inspection equipment	N/A	N/A	3
	High temperature and high humid testing machine	N/A	N/A	1



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Section 2: Production Process Control

2.1 Production Process Control		
Item	Content	Observations /Comments
1	Product R&D capacity	<input checked="" type="checkbox"/> Own brand <input checked="" type="checkbox"/> ODM <input checked="" type="checkbox"/> OEM
2	Are the environmental conditions, such as tidiness and cleanliness being controlled and suitable for the operation performed?	<input checked="" type="checkbox"/> Very tidy <input type="checkbox"/> Normal <input type="checkbox"/> Need to improve <input type="checkbox"/> Very poor
3	Are the necessary items /documents provided at appropriate location and under control?	<input checked="" type="checkbox"/> Work Instructions /procedures <input checked="" type="checkbox"/> Workmanship standard /acceptance <input type="checkbox"/> Golden sample /Approval sample <input type="checkbox"/> Product picture <input type="checkbox"/> Verbal by workshop director
4	Are written instructions available for incoming material inspections /testing? Is the relevant record maintained?	<input checked="" type="checkbox"/> Has instructions and uniformly followed <input type="checkbox"/> Has instruction but no written records <input type="checkbox"/> Materials checked by storage staff
5	Are written inspections /testing instructions available for finished products? Is the relevant record maintained?	<input checked="" type="checkbox"/> Have instructions and uniformly followed <input type="checkbox"/> Have instruction but no written records <input type="checkbox"/> Finished product checked by packing staff
6	What type of inspection is used for finished products?	<input type="checkbox"/> Random inspection <input type="checkbox"/> Visual inspection <input type="checkbox"/> Function inspection <input checked="" type="checkbox"/> 100% inspection <input checked="" type="checkbox"/> Visual inspection <input checked="" type="checkbox"/> Function inspection
7	Are non-conforming units clearly marked/ segregated to prevent accidental dispatch?	<input type="checkbox"/> Marked and segregated <input type="checkbox"/> Segregated but not marked clearly <input checked="" type="checkbox"/> Not found on site
8	How are the non-conforming units handled?	<input checked="" type="checkbox"/> Repaired and re-inspection <input checked="" type="checkbox"/> Picked out <input type="checkbox"/> Used under control <input type="checkbox"/> Others



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Part F: Financial Position

Section 1: Financial Data

1.1 Income Statement				
Item	Content	2021	2020	2019
1	Operating revenue	Confidential	Confidential	Confidential
2	Operating cost	Confidential	Confidential	Confidential
3	Gross profit	Confidential	Confidential	Confidential
4	Operating profit	Confidential	Confidential	Confidential
1.2 Balance Sheet				
Item	Content	2021	2020	2019
1	Cash and cash equivalents	Confidential	Confidential	Confidential
2	Total current assets	Confidential	Confidential	Confidential
3	Total current liabilities	Confidential	Confidential	Confidential
4	Total assets	Confidential	Confidential	Confidential
1.3 Cash Flow From Operating Activities				
Item	Content	2021	2020	2019
1	Cash received from sales of goods or rendering of services	Confidential	Confidential	Confidential
2	Sub-total of cash inflows	Confidential	Confidential	Confidential
3	Sub-total of cash outflows	Confidential	Confidential	Confidential



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Section 2: Key Performance Indication

2.1 Key Performance Indication				
Item	Content	2021	2020	2019
1	Operating revenues year-on-year rise (OR in this year- OR in last year) / (OR in last year)	Confidential	Confidential	Confidential
2	Gross Margin Gross profit/ Operating revenues	Confidential	Confidential	Confidential
3	Current ratio Current assets / Current liabilities	Confidential	Confidential	Confidential

Section 3: Banking

3.1 Banking		
Item	Content	Comments
1	Opening bank	Confidential
2	A/C No.:	Confidential
3	The credit level evaluated by bank	Confidential

Section 4: Product Insurance

4.1 Product Insurance				
Certification	Insurer	Number	Product	Expiry date
N/A	N/A	N/A	N/A	N/A



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Part G: Working Environment

Section 1: Working Environment

1.1 Welfare Benefits		
Item	Content	Observations /Comments
1	Does the company have effective procedures to verify the age of staff at the time of recruitment?	<input checked="" type="checkbox"/> Has written procedure and keeps adequate age documents of workers <input type="checkbox"/> Has written procedure but doesn't follow records <input type="checkbox"/> Hasn't written procedure or follows records
2	Do all workers sign employment contracts with the factory?	<input checked="" type="checkbox"/> All workers sign employment contracts <input type="checkbox"/> Some workers sign employment contracts <input type="checkbox"/> Only management staff sign employment contracts <input type="checkbox"/> No staff sign employment contracts
3	Is statutory contribution required for all employees' social insurance (e.g. health insurance, unemployment insurance, accident insurance etc.) paid for by the enterprise?	<input checked="" type="checkbox"/> All workers have social insurance. <input type="checkbox"/> Some workers have social insurance <input type="checkbox"/> Only management staffs have social insurance <input type="checkbox"/> No staff have social insurance
4	Does the company have a clear and effective policy on working hours, rest and vacations? If does, please list it.	<input checked="" type="checkbox"/> All staffs work kept to the policy <input type="checkbox"/> Most of the time it keeps to the policy except midseason. <input type="checkbox"/> Usually needs overtime. <input type="checkbox"/> No relevant records for working hours Describe the working hours: 5 days per week
5	Does the company pay extra remunerations for all overtime work?	<input checked="" type="checkbox"/> For all overtime work. <input type="checkbox"/> For official holidays <input type="checkbox"/> For official holidays except weekend. <input type="checkbox"/> No extra remunerations for overtime.
6	Does the company have dormitories for staff? If yes, please describe the condition.	<input checked="" type="checkbox"/> Provide dormitories for all staff <input type="checkbox"/> Provide dormitories for workers <input type="checkbox"/> Provide dormitories for management staff <input type="checkbox"/> No dormitories were provided. Describe the condition: 2 staffs per room
1.2 Labor Protection		
Item	Content	Observations /Comments
1	Are there uniforms for all staff in company?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Other
2	Is the emergency medical supplies enough and easily used in workshop?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Other: This is an office site without workshop
3	Does the company arrange health and safety training for new workers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other
4	Do the workers have the appropriate protective equipment during operation in workshop? Such as gloves, masks.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Other: This is an office site without workshop
5	Is there training needed and carried out for fire protection?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other



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Part H: Energy Saving and Emission Reduction

Section 1: Environmental Management

1.1 Environmental Management		
Item	Content	Observations /Comments
1	Environmental Management System	<input type="checkbox"/> ISO 14001 Certificate <input type="checkbox"/> Cleaner production management <input checked="" type="checkbox"/> NIL
2	Environmental Impact Assessment	<input type="checkbox"/> The Report of Environmental impact assessment is approved by EPA . <input checked="" type="checkbox"/> NIL
3	Check and Acceptance of Completed Constructive Projects	<input type="checkbox"/> The Report Completed Constructive Projects Inspection and Acceptance is approved. <input checked="" type="checkbox"/> NIL
4	"Three Simultaneity" for Environmental protection	<input type="checkbox"/> The Report of "Three Simultaneity" for Environmental protection Inspection and Acceptance is available. <input checked="" type="checkbox"/> NIL

Section 2: Water, Gas and Noise Control

2.1 Water, Gas and Noise Control		
Item	Content	Observations /Comments
1	Water-intaking	<input type="checkbox"/> Water-intaking license <input type="checkbox"/> No water-intaking license <input checked="" type="checkbox"/> No water taken from natural water body
2	Waste water	<input type="checkbox"/> Water-draining license or contract <input type="checkbox"/> Having carried out waste water treatment before draining <input type="checkbox"/> Having carried out waste water monitoring and the result of which being within the standard limit <input checked="" type="checkbox"/> No detail activities were found
3	Emission to air	<input type="checkbox"/> Air pollutant emission license <input type="checkbox"/> Having carried out air pollutant emission monitoring and the result of which being within the standard limit <input checked="" type="checkbox"/> No detail activities were found to reduce emission to air
4	Classification and Recycling for solid waste	<input type="checkbox"/> Having applied trash classification recycling <input type="checkbox"/> Having special warehouse for hazardous waste <input checked="" type="checkbox"/> No detail activities were found
5	Noise	<input type="checkbox"/> The company carried out noise monitoring and the result of which being within the standard limit one time per year <input checked="" type="checkbox"/> No detail activities were found



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Section 2: Photos of Company

2.1 Photos of Company and Product Sample

Description: Company Gate



Description: Honor Wall



Description: Office



Description: Office



Description: Office



Description: Canteen



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-- End of the Report --



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