

Qualcomm
China and Macau Employee Written Assurance (CEWA) Letter

To: All China and Macau Office Employees and Consultants

From: Qualcomm's Export Compliance Department

Qualcomm and third party hardware, software, source code and technology (collectively, "Products") require an authorization or license prior to their export, re-export, transfer or release (collectively, "export") by any method to any destination. All Qualcomm employees worldwide, including temporary employees, interns and consultants, (collectively, "employees") are responsible for complying with United States ("US") and China export laws, this China and Macau Employee Written Assurance and Qualcomm's Export Compliance Policy. This policy is located at <http://myqualnet.qualcomm.com/export/html/Export%20Compliance%20Policy.htm>.

Employee Export Certification

A. The US government has granted Qualcomm an export license to disclose export controlled Products to its employees in its China and Macau offices. This license includes additional offices as a result of Qualcomm's acquisition of CSR. This certification also serves as a notice that an advisory opinion was submitted on June 12, 2015 to notify the US government of changes to Qualcomm China address. To comply with the conditions of this license and the advisory opinion, each employee provides to Qualcomm his or her assurance that they will abide by this CEWA, including the export license riders and conditions in Attachment A.

1. I will use Qualcomm export approved systems and processes according to Qualcomm's Company Confidential Information (CCI), please see <http://myqualnet.qualcomm.com/policies/cci/index.asp> or obtain prior authorization from China's Export Liaison(s) and/or the Export Compliance department to export, transfer, or release by any means a Product within China, outside of China, or to a non-US national wherever located.
2. I will not, without prior written authorization from Export Compliance, export, transfer, or release any Product to any country subject to the US government embargo or sanctions laws, or to nationals of such countries which currently include Cuba, Iran, North Korea, Sudan (North), Syria, and the Crimea region of Ukraine. This list of countries is amended periodically by the US government. For the most recent list, please see <http://myqualnet.qualcomm.com/export/html/embargoedsanctioned.htm>.
3. I will comply with the export license riders and conditions in Attachment A.

B. Please supply the following information for export compliance purposes:

1. My country of Citizenship is: _____
(This is the country where you were born or have current legal naturalized citizenship. Example: A Chinese citizen is a person who was born in China or is a legal naturalized Chinese citizen.)
2. If applicable, I also have citizenship, nationality, or permanent resident status in the following additional country(ies):

(Indicate "Not Applicable" if you do not have dual citizenship, nationality, or lawful permanent residence status in a country other than indicated above; or if applicable, list the appropriate country if you have obtained dual citizenship, nationality, or lawful permanent resident status.)

This China Employee Export Compliance Written Assurance shall survive the expiration or termination of the undersigned employee's employment with Qualcomm

Failure to comply with US export laws may subject Qualcomm to loss of export privileges, fines, penalties and/or criminal prosecution. Furthermore, the undersigned's failure to comply with this US export laws or this CEWA could result in termination from Qualcomm and prosecution by the US government.

I certify that the foregoing is true and correct and I agree to the CEWA terms set forth above and Attachment A to this certification.

Birth Name:

Common Name:

Signature:

Date:

Title:

Attachment: A—Export License Riders and Conditions

Copy: Employee

References: Qualcomm China Export Policy Statement
Qualcomm Export Compliance Policy
Qualcomm Company Confidential Information

Attachment A to the CEWA
US Government Export License No. D1072757 Riders and Conditions for Qualcomm China and Macau Offices

The US government requires Qualcomm to communicate to all Qualcomm China and Macau employees the following export license riders and conditions and of your responsibility not to export, re-export, transfer or release (collectively, "export") controlled technologies to unauthorized recipients without prior authorization from Qualcomm's Export Compliance department. Qualcomm China management has agreed to these riders and conditions applicable to all employees.

Export License Riders and Conditions	Explanation of Rider and Condition
<p style="text-align: center;"><i>Authorization</i></p> <p>1) THE APPLICANT IS AUTHORIZED TO RELEASE TECHNOLOGY CONTROLLED UNDER ECCNS 5E001.A, 5E001.B.3, 5E001.C.4.A, 3E002.A, 3E002.B, AND 3E002.C TO THE ULTIMATE CONSIGNEE AND END USERS LISTED ON THIS LICENSE APPLICATION LIMITED TO THAT NEEDED FOR THE DESIGN, DEVELOPMENT, ANALYSIS, INTEGRATION, SUPPORT, MANUFACTURING, ASSEMBLY, PACKAGING, AND TESTING OF QUALCOMM PRODUCTS TO SUPPORT THE DEVELOPMENT, FACILITATION, AND ADOPTION OF CDMA AND CIVIL WIRELESS AND WIRED TELECOMMUNICATIONS STANDARDS, AS DESCRIBED IN THE LICENSE APPLICATION.</p>	<p>1) This is a description of US origin technologies as described in the US export regulations, for which the US government has licensed Qualcomm China and Macau offices.</p> <p>Some Qualcomm China and Macau employees may work with this technology or have incidental access primarily through projects they work on in the engineering or research and development environments through controlled system access.</p>
<p style="text-align: center;"><i>Restriction</i></p> <p>2) OTHER NS-CONTROLLED TECHNOLOGIES ARE NOT AUTHORIZED.</p>	<p>2) Export Compliance performs periodic reviews of controlled technologies in Qualcomm China and Macau to identify other NS controlled technologies. If needed, a license will be sought by Export Compliance.</p>
<p style="text-align: center;"><i>Prohibition</i></p> <p>3) THIS LICENSE DOES NOT AUTHORIZE THE EXPORT OF ANY NS-CONTROLLED EQUIPMENT OR SOFTWARE NOT ELIGIBLE FOR A LICENSE EXCEPTION IN THIS CASE.</p>	<p>3) Same as Item 2 above.</p>
<p style="text-align: center;"><i>Prohibition</i></p> <p>4) MILITARY RESEARCH, DEVELOPMENT, TEST AND/OR EVALUATION (RDT&E) IS NOT AUTHORIZED.</p>	<p>4) This is a general US government prohibition. Export Compliance reviews this requirement with engineering and other personnel. Employees must notify Export Compliance if a request for support, service or request is received involving military applications or end-uses.</p>
<p style="text-align: center;"><i>Requirement</i></p> <p>5) THE APPLICANT SHALL SUBMIT ANOTHER EXPORT LICENSE APPLICATION IF ADDITIONAL CONTROLLED TECHNOLOGIES ARE REQUIRED OTHER THAN THOSE AUTHORIZED BY THIS LICENSE.</p>	<p>5) Same as Item 2 above.</p>
<p style="text-align: center;"><i>Requirement</i></p> <p>6) THE APPLICANT WILL MAINTAIN A RECORD OF EACH EMPLOYEE GIVEN ACCESS TO TECHNOLOGIES EXPORTED UNDER THIS LICENSE AND OF WHEN EACH SUCH EMPLOYEE LEAVES THE COMPANY. THE APPLICANT SHALL MAINTAIN THIS INFORMATION ON FILE AND PROVIDE IT TO THE US GOVERNMENT UPON REQUEST.</p>	<p>6) Human Resources have a process to comply with this requirement for all employees globally. Human Resources track employees' employment dates including termination date.</p>
<p style="text-align: center;"><i>Requirement</i></p> <p>7) NO RE-EXPORT OR TRANSFER OF THE CONTROLLED TECHNOLOGY SUBJECT TO THIS LICENSE IS PERMITTED EXCEPT AS MAY BE APPROVED BY THE U.S. DEPARTMENT OF COMMERCE BUREAU OF INDUSTRY AND SECURITY</p>	<p>7) Same as Item 2 above.</p>

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(BIS) OR OTHERWISE AUTHORIZED UNDER THE EXPORT ADMINISTRATION REGULATIONS (EAR).	
<p><i>Requirement</i></p> <p>8) THE END USER/ULTIMATE CONSIGNEE SHALL INFORM ALL PERSONNEL WORKING AT THE FACILITY APPROVED TO RECEIVE THE LICENSED TECHNOLOGY IN WRITING OF ALL LICENSE CONDITIONS AND OF HIS/HER RESPONSIBILITY NOT TO DISCLOSE, TRANSFER OR REEXPORT ANY CONTROLLED TECHNOLOGY TO UNAUTHORIZED PERSONNEL WITHOUT PROPER AUTHORITY.</p>	<p>8) All employees receive and sign the China Employee Written Assurance ("CEWA") at time of employment. Qualcomm communicates this requirement (export license riders and conditions) to all its Qualcomm China employees as part of the Terms of Employment by way of the CEWA document and by e-mail with interim updates. The CEWA outlines the employee's responsibilities and the restrictions pertaining to the export license authorization and its riders and conditions. All new hires receive the CEWA and sign they have read, understood and will comply with the requirements at new hire orientation. The responsibility to administer and retain the CEWA belongs to China Human Resources.</p>
<p><i>Requirement</i></p> <p>9) ACCESS TO TECHNOLOGY BY THIRD COUNTRY NATIONALS IS NOT AUTHORIZED WITH THIS LICENSE. SEPARATE U.S. GOVERNMENT AUTHORIZATION AND APPROVED LICENSE AND CONDITIONS ARE REQUIRED.</p>	<p>9) Qualcomm China employees shall not disclose export, reexport, transfer or release (collectively, "export") Qualcomm or third party hardware, software, source code or technology (collectively, "Products") to persons who are nationals from a restricted country without prior approval from Export Compliance. Restricted countries are listed at http://export.qualcomm.com/restricted-country-listsguidelines-0</p> <p>Human Resources must notify Export Compliance of any new hire that is a citizen of a restricted country, or if any employee from a Qualcomm China office transfers to another Qualcomm location.</p> <p>China Office personnel cannot be third country nationals from restricted countries and access Qualcomm restricted technology without separate US government approval.</p>
<p><i>Requirement</i></p> <p>10) THE ENDUSER/ULTIMATE CONSIGNEE WILL MAINTAIN AND UPDATE THEIR TECHNOLOGY CONTROL PLAN (TCP) AS NEEDED TO ENSURE COMPLIANCE WITH THE CONDITIONS OF THIS LICENSE. A COPY OF THE TCP MUST BE DELIVERED TO DOC/BIS PRIOR TO THE EXPORT OF TECHNOLOGY. THIS DOCUMENTATION SHOULD BE MAILED TO MANAGEMENT AND COMPLIANCE DIVISION, 14TH STREET AND PENNSYLVANIA AVENUE, NW, ROOM 2099B, WASHINGTON D.C. 20230. INDICATE ON THE ENVELOPE "EXPORTER TCP". THIS CAN ALSO BE SUBMITTED VIA E-MAIL AT THE FOLLOWING ADDRESS: EARREPTS@BIS.DOC.GOV.</p>	<p>10) Qualcomm China management and Export Compliance have a control plan that meets the requirements of conditions 10 and 11 I-V.</p> <p>A Technology Control Plan (TCP) has been established to comply with the conditions of this export license. Export Compliance has the responsibility to communicate the license conditions and TCP requirements to Qualcomm China management. Frank Meng (Chairman, Qualcomm China) and Bin Zhao (Vice President of Legal; Government Affairs) have the management responsibility of complying with the license conditions and the TCP.</p>
<p><i>Requirements 11 I-V</i></p> <p>11) A TECHNOLOGY CONTROL PLAN (TCP) MUST CONTAIN AT A MINIMUM THE FOLLOWING ITEMS:</p>	<p>11) Qualcomm China and Export Compliance have established a control plan that meets the requirements of conditions 10 and 11 I-V.</p>
<p>I) CLEAR STATEMENT OF CORPORATE COMMITMENT COMMUNICATED TO ALL LEVELS OF THE FIRM. IDENTIFICATION OF KEY EXPORT MANAGEMENT OFFICIALS AND OTHER RESPONSIBLE OFFICIALS TO ENSURE COMPLIANCE WITH THE TCP.</p>	<p>I) All employees must read and comply with this policy, the China Export Policy Statement and the Export Compliance Policy.</p>
<p>II) BASIC TECHNOLOGY TRANSFER CONTROL TRAINING PROGRAM TO ENSURE ALL EMPLOYEES UNDERSTAND THEIR OBLIGATION TO INSURE CONTROLLED TECHNOLOGY IS NOT COMPROMISED.</p>	<p>II) All Qualcomm employees receive Export Compliance communication including the CEWA, China Export Policy Statement and Export Compliance Policy.</p> <p>Additional communication and training is targeted to specific groups who have access to controlled technologies or have a responsibility to comply with additional Export Compliance responsibilities. Additional</p>

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	resources for all employees are available at the Export Compliance website at http://export.qualcomm.com/
III) SECURITY PROCEDURES FOR PREVENTING ACCESS TO CONTROLLED TECHNOLOGY BY UNAUTHORIZED PERSONNEL (E.G. BADGES, ACCESS CODES). THIS SHOULD INCLUDE CLEARANCE AND SAFEGUARDING PROCEDURES FOR VISITORS WHO ENTER THE FACILITY AND EMPLOYEES NOT AUTHORIZED TO HAVE ACCESS TO CONTROLLED TECHNOLOGY.	<p>III) Company processes are in place to grant and monitor system and badge access for all employees and non-employees.</p> <ul style="list-style-type: none"> ▪ All employees must visibly wear the company employee badge. ▪ Employees must follow company Security policies available at Security and Human Resources web sites. ▪ Visitors must sign-in at the reception and visibly wear a visitor badge. Employees must escort visitors at all times. Employees must comply with company Security and Export Compliance visitor policies. ▪ No Qualnet system access is allowed unless approved by IT Accounts Admin.
IV) PROCEDURES TO SCREEN POTENTIAL EMPLOYEES AND REQUIREMENT TO SIGN NON-DISCLOSURE AGREEMENT PRIOR TO EMPLOYMENT.	IV) Company processes in place comply with these requirements. All Qualcomm China and Macau employees sign the CEWA.
<p><i>Requirement</i></p> <p>V) PROCEDURES TO ENSURE EMPLOYEES DO NOT RECEIVE CONTROLLED TECHNOLOGY UNTIL AUTHORIZED BY USG LICENSE. PROCEDURES TO ENSURE THAT CONTROLLED TECHNOLOGY IS NOT DISSEMINATED IN AN UNAUTHORIZED MANNER.</p>	V) All employees must use approved company systems and processes to receive and transfer technical information. These systems include Electronic Traffic Request (ETR), Agile, Documentum, Configuration Management, and Oracle.
<p><i>Requirement</i></p> <p>12) THE APPLICANT MUST INFORM THE CONSIGNEES OF ALL LICENSE CONDITIONS.</p>	12) By way of the CEWA, Export Compliance has informed Qualcomm China and Macau management and employees of all these conditions. Management has accepted these riders and conditions and will send an email notice to all Qualcomm China employees of the riders and conditions to the license.