



# ICC-SWCC™ Application for Certification FORM A

1. For application type, please check one of the following:

New Product Certification (New File)

Revision to Existing Certification

Existing Certification No.

2. Check all that apply to this application:

New Small Wind Turbine Certification (<150 kW peak power)

New Medium Wind Turbine Certification (150 – 300 kW peak power)

Certification Renewal

Certification Transfer

Reinstatement of Previous Certification

Manufacturing Plant or Importer Change

Technical Modification to Product

(design, material, components, etc.)

Company Name Change\*\* (Modification)

Model Number Change (Modification)

New Additional Company Name(s)



Other(s):

\*\* For contact name and/or address change, please contact our customer service directly.

3. Please enter the following information for the applicant:



**Company Name:**

(Exactly as it should appear in the published listing)

**Company Legal Status:**

(Sole proprietorship, general or limited partnership, S or C Corporation, LLC, etc.)

**Website:**

**Mailing Address:**

Street Address (exactly as it should appear in listing)

**City/State/Zip/Country (if other than USA):**

**Email Address:**



4. Product Description:



**Product Name and Model:**

(As it should appear in the certification or listing; attach a separate sheet if necessary).



**6. For existing certifications:**

- a. Are there changes in the product formulation, raw material specifications, suppliers of raw materials, manufacturing method, manufacturer, or in the documented quality control system from what was originally submitted or from the last time ICC-SWCC reviewed the product?
- b. No                    Yes *\*\* If yes, please explain on a separate sheet \*\**
- c. Are you aware of any complaints, or legal actions pending, related to code compliance, about the product(s) covered by the listing?
- d. No                    Yes *\*\* If yes, please explain on a separate sheet \*\**



**7. Name and title of applicant's technical representative (if any):**

Address (if different from address above)

Phone:

Email:



**8. Name and title of applicant's legal representative (if any):**

Address (if different from address above)

Phone:

Email:

**9. Is there a situation under which the product can lead to a potential hazard?**

No                    Yes





**12. Applicant agrees to the following conditions:**

- a. Applicant, identified under company name above, acknowledges reviewing applicable ICC-SWCC Rules of Procedure, and that the applicant shall be responsible for ensuring that products covered by this application conform with ICC-SWCC product listing or certification requirements. The applicant agrees that the Solar Rating & Certification Corporation (hereinafter "ICC-SWCC") may, as necessary, subcontract for work related to the product listing or certification process; although the applicant retains the right to reject ICC-SWCC's use of any particular subcontractor. The applicant also agrees that, as may be required for the product evaluation and any follow-up surveillance activities, the applicant will make all necessary arrangements for examination of the applicant's documentation and records, and/or for ICC-SWCC access to the applicant's relevant locations, areas, equipment, personnel, and subcontractors. If requested by ICC-SWCC, the applicant will make arrangements for third-party observers, representing accreditation bodies, to be present during any given inspection of the manufacturing facilities producing products covered by this application.
- b. In consideration of the processing of this application, the applicant agrees to abide by any conditions attached to the approval of this application, the requirements of the applicable standards and codes, and the Rules of Procedure of the Small Wind Certification Council, as they now exist and as they may be reasonably modified in the future.
- c. The applicant agrees to make all necessary arrangements for ICC-SWCC to investigate complaints related to any product listing or certification requirements resulting from this application. The applicant also agrees to keep a record of all significant complaints made known to the applicant about the listed or certified product(s), and to make these records available to ICC-SWCC upon request. The applicant will take appropriate action with respect to such complaints, and document the actions taken.
- d. An ICC-SWCC listing or certification does not imply any guarantee or warranty (expressed or implied, and including but not limited to merchantability) by ICC-SWCC against defects or failures in service nor any responsibility in regard to patent or trademark infringement, misuse of trade name or trade secrets, or any other aspect of unfair competition. Affirmative actions of ICC-SWCC are based primarily on the data submitted by the applicant and/or listee and the validity and integrity thereof as implicitly represented by the applicant and/or listee in submitting the same. Applicant agrees that it shall have no cause of action or claim against ICC-SWCC or its parent corporation, the International Code Council, Inc., or the officers, directors, members and employees of either entity from time to time arising out of any listing issued pursuant to this application, whether or not such listing is subject to conditions, or out of any denial of this application. Applicant agrees to hold ICC-SWCC, its parent corporation, the International Code Council, Inc., or any of their affiliates, parent, brother or sister corporations or their successor-in-interest or assigns, and the officers, directors, members, and employees of such entities ("ICC" collectively throughout this paragraph) harmless, and to defend and indemnify them, with respect to any claim, liability, action or judgment arising from the use or operation by any person of the product or service to which the application relates, actual or asserted, whether related to the matters set forth in the first sentence of this paragraph or otherwise, whether for personal injury, wrongful death, property damage, or any type of injury or damage whatsoever, whether or not of the same kind or nature as any of the foregoing. ICC's rights pursuant to the foregoing sentence, and applicant's obligations there under, shall apply whether or not it is claimed that ICC was concurrently negligent with others, solely negligent, actively or passively negligent, and whether or not the legal theory of the claimant(s) is on one of the foregoing grounds or some other. California law shall apply to the interpretation hereof. If any part or portion of this paragraph, or any application thereof to particular facts, should be determined invalid, the provisions hereof shall be severable so as to achieve for ICC the maximum legal protection. If this application is for a renewal of an existing additional listing or certification, the provisions of this paragraph shall apply from the date of first granting of that listing, whether upon application or without application by applicant or a predecessor and regardless of: intervening modifications to said listing or modifications pursuant to application for renewal; any prior change in the number assigned to the listing; and any prior change in ownership rights in or rights to said listing, or any additional listing or certification included in the listing, whether one or more, since granting of said first additional listing or certification.
- e. The applicant agrees that all final certifications and listings, as well as communications between ICC-SWCC and the applicant prior to the issuance of a final certification and/or listing, including draft certifications and/or listings and comments thereto, are and shall be the exclusive property of ICC-SWCC. The applicant agrees not to disclose any such communications, draft certifications and listings and/or comments thereto to others without prior written approval of ICC-SWCC.

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|---|--|
| <b>Name of Authorized Representative of Applicant</b> | <b>Name of ICC-SWCC Authorized Personnel</b> |
| <b>Title</b>  | <b>Title</b>                                 |
| <b>Phone</b>  | <b>Phone</b>                                 |
| <b>Email</b>  | <b>Email</b>                                 |
| <b>Signature</b>                                      | <b>Signature</b>                             |
| <b>Date</b>   | <b>Date</b>                                  |

One copy of all available supporting data should be submitted to ICC-SWCC, 3060 Saturn Street, Suite 100, Brea, CA 92821, with this application. Applicants for new ICC-SWCC listings or certifications should note that a qualifying on-site inspection may be required, in accordance with applicable ICC-SWCC Rules of Procedure. The applicant must reimburse ICC-SWCC for expenses incurred in performing such inspections. Reimbursable expenses include, but are not limited to, travel expenses and staff time.



# ICC-SWCC™ Application for Certification or Listing FORM B – Manufacturing Plant Locations

The following information is required for each plant where your listed or certified products are manufactured. If there are more than two manufacturing locations, make photocopies of this sheet as needed.

Company Name:

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Plant 1 Name:

Plant 1 Street Address:

City/State/Zip/Country:

Contact Person:

Person responsible for QA system:

Phone:

Email:

Hours & days of operation:

Anticipated plant closings, shutdowns or holidays:

Is this plant ISO 9000 Certified?      No      Yes

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Plant 2 Name:

Plant 2 Street Address:

City/State/Zip/Country:

Contact Person:

Person responsible for QA system:

Phone:

Email:

Hours & days of operation:

Anticipated plant closings, shutdowns or holidays:

Is this plant ISO 9000 Certified?      No      Yes

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Please select preferred use of language for all inspections:      English      Spanish      Chinese      German      Other

Signature of Applicant:

Print or type name and title:

Date:



# ICC-SWCC™ Application for Certification or Listing FORM C – Additional Company Names

The following information is required for EACH Additional Company Name that currently appears on (or will be appearing on) your Certificate or Listing. Complete one sheet for each Additional Company Name (you may make photocopies of this sheet as needed).

Please provide all information as noted below for EACH ADDITIONAL COMPANY NAME that you are applying for or that currently appears on your certificate of certification or listing:

Listee Company Name:

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Please attach a list of models on separate sheet with cross-reference list of currently listed models on the file:

Additional company name:

Contact Person:

Address:

City/State/Zip/Country:

Phone:

Email:

Email Address:

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In consideration of the processing of this application, the Applicant agrees to abide by any conditions attached to any listing or certification or renewal thereof issued pursuant to this application, or any later amendment of said listing or renewal, and the applicable ICC-SWCC Rules of Procedure as they now exist and as they may be reasonably modified in the future. Applicant acknowledges reviewing the applicable Rules of Procedure. Applicant also agrees that the provisions on the second page of this application constitute a part of the applicant's agreement.

Applicant understands that any approval of this application will be automatically vacated upon any expiration or revocation or amendment of said ICC-SWCC listing or certification. Applicant also agrees and understands that the holder of the above-referenced ICC-SWCC listing or certification may at any time withdraw any rights of Applicant which may result from this application; Small Wind Certification Council, however, is to have a reasonable period of time within which to delete any reference to the Applicant from the ICC-SWCC listing or certification. Applicant also agrees that any rights resulting from this application may be revoked by Small Wind Certification Council, separate and apart from any revocation of the above-referenced ICC-SWCC listing or certification for any reason considered valid by Small Wind Certification Council, even if such reason is not a ground for revocation of the ICC-SWCC listing or certification itself.

**Submitting the Application** There are three easy ways to submit this completed application along with payment or credit card information.

1. **MAIL:** Small Wind Certification Council  
3060 Saturn Street, Ste 100  
Brea, CA 92821
2. **SCAN & EMAIL:**  
[swcc@smallwindcertification.org](mailto:swcc@smallwindcertification.org)
3. **Save this PDF to your computer,**  
complete form and select