

UNITED STATES OF AMERICA
CONSUMER PRODUCT SAFETY COMMISSION

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In the Matter of))
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THYSSENKRUPP ACCESS CORP.) CPSC DOCKET NO.: 21-1
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Respondent.))
_____)

TO: OTIS ELEVATOR COMPANY
c/o CT Corporation System
67 Burnside Ave.
East Hartford, CT 06108

OTIS ELEVATOR COMPANY
c/o Judy Marks, CEO and President
One Carrier Place
Farmington, CT 06032

SUBPOENA DUCES TECUM

Complaint Counsel in the above-captioned matter is seeking an Initial Decision and Order determining that components manufactured by Respondent thyssenkrupp Access Corp. (now known as TK Access Solutions Corp.), and used to install various residential elevators through 2012, present a substantial product hazard. In the underlying Complaint, Complaint Counsel seeks a recall and certain relief, including the imposition of notice and repair requirements on Respondent related to an alleged Elevator Hazard associated with residential elevators. Respondent believes the Otis Elevator Company has in its possession, custody, or control information relevant to this matter and, in particular, the nature and scope of the requested relief.

The U.S. Consumer Product Safety Commission (“CPSC”) has authorized the issuance of this Subpoena *duces tecum* in this matter pursuant to Sections 15 and 27(b)(3) & (4) of the

Consumer Product Safety Act, 15 U.S.C. §§ 2064 and 2076(b) (3) & (4), and 16 C.F.R. part 1025.

The Subpoena requires that you produce certain documents as requested below. All documents produced in response to this Subpoena that are marked as confidential will be considered confidential within the meaning of the Protective Order entered on October 12, 2021, by the Presiding Officer in this matter.

I. GENERAL INSTRUCTIONS

A. This Subpoena shall be answered by you.

B. Each document production request seeks production of all documents described herein, and any attachments thereto, in your possession, custody, or control, or in the possession, custody, or control of any of your attorneys, employees, agents, or representatives, and all documents and any attachments that you or any of your attorneys, employees, agents, or representatives have the legal right to obtain, or have the ability to obtain from sources under your or their control.

C. These requests shall be read, interpreted, and answered in accordance with these instructions and the definitions set forth herein, as well as 16 C.F.R. § 1025.38. If the meaning of any word or phrase used herein is unclear, you are requested to contact Respondent's counsel for the purpose of resolving any ambiguity. If any request cannot be answered in full after exercising the required diligence, it shall be answered to the extent possible with a full statement of all efforts to fully answer and of all reasons a full answer cannot be made.

D. Produce each document requested herein in its entirety, without deletion, redaction, or excision.

E. Please provide all responsive Documents, including hardcopy, electronic and e-mail Documents in electronic format on CD or DVD. Document level searchable text, all fielded

data, and metadata should be delivered in a Relativity-compatible load file (DAT and OPT) accompanied by Bates-numbered single page Group IV TIFF images representing each page of production.

F. To the extent that you withheld, based upon a claim of privilege, any information, or documents (including electronic records) that would have been responsive to any information or document production requests contained in the Subpoena, provide the following information: for any document withheld, specify the privilege claimed and the factual basis you contend supports the assertion of the privilege, and identify the document as follows: (a) state the date, nature, and subject matter of the document; (b) identify each author of the document; (c) identify each preparer of the document; (d) identify each person who is an addressee or an intended recipient of the document; (e) identify each person from whom the document was received; (f) state the present location of the document and all copies thereof; (g) identify each person who has, or ever had, possession, custody, or control of the document or any copy thereof; (h) state the number of pages, attachments, appendices, and exhibits; and (i) provide all further information concerning the document and the circumstances upon which the claim of privilege is asserted.

G. In an affidavit accompanying the response to the Subpoena, you must include a statement, signed under oath or affirmation, indicating that a diligent search of all files, records, and databases for responsive information and documents has been made, that the information contained in the responses to the questions is complete and accurate, and that you have produced true copies of all the documents requested in the Subpoena.

H. Your obligation to respond to the Subpoena is a continuing one. As additional information becomes available to you that is responsive to the Subpoena, you must submit that information immediately.

II. DEFINITIONS

For the purposes of the Subpoena the following definitions apply:

A. "Otis" means Otis Elevator Company, with its principal place of business located at One Carrier Place, Farmington, CT, 06032, including any agent, parent, subsidiary, affiliate, successor, or predecessor entity, as well as past and present officers, directors, representatives, agents, and employees of Otis.

B. "Document(s)" shall be interpreted as the term is used in Federal Rule of Civil Procedure 34 and includes electronically stored information.

C. "Elevator Hazard" means the child entrapment hazard posed by the installation of the Elevators.

D. "CAP" refers to the final Corrective Action Plan entered into between Otis and the CPSC related to the "recall" to inspect home elevators announced on December 17, 2020.

E. "MPR" means any monthly progress report filed with the CPSC as part of the "recall" to inspect home elevators announced on December 17, 2020.

F. "Recall" refers to the CPSC's announcement on December 17, 2020 requiring Otis to inspect private residential elevators due to an alleged Elevator Hazard. *See [Otis Elevator Company Recalls to Inspect Private Residence Elevators Due to Entrapment Hazard; Risk of Serious Injury or Death to Young Children | CPSC.gov](#)* (CPSC Recall No. 21-056).

III. SUBPOENA DUCES TECUM

You are ordered to produce and permit inspection of the following documents and things in your possession, custody, or control at the offices of Keller and Heckman, LLP, 1001 G St. NW, Washington, DC 20037 c/o Sheila A. Millar or through some other mutually convenient means within thirty days of service hereof.

1. The final CAP as approved by the CPSC.
2. Copies of all MPRs submitted to the CPSC related to the “recall to inspect” home elevators announced on December 17, 2020 (CPSC Recall No. 21-056).
3. A copy of any closing letter issued by the CPSC related to the recall and any additional communications between Otis and CPSC in response to or following up on any such closing letter by CPSC.

BY ORDER OF THE COMMISSION

The undersigned, an authorized official of the U.S. Consumer Product Safety Commission, has hereto set her hand and caused the seal of the Commission to be affixed at Bethesda, MD, this _____ day of _____, 2022

Alberta E. Mills
Secretary
U.S. Consumer Product Safety Commission