

## OTCQB Certification

I, Scott E. Rickert, Chief Executive Officer of PEN Inc. ("the Company"), certify that:

a. The Company is registered with the SEC or exempt from SEC registration as indicated below (check one):

- ☒ Company is registered under Section 12g of the Exchange Act  
☐ Company is relying on Exchange Act Rule 12g3-2(b)  
☐ Company is a bank that reports to a Bank Regulator under Section 12(i) of the Exchange Act  
☐ Company is a bank that is non-SEC reporting but is current in its reporting to a Banking Regulator  
☐ Other (describe) \_\_\_\_\_

b. The Company is current in its reporting obligations as of the most recent fiscal year end and any subsequent quarters, and such information has been posted either on the SEC's EDGAR system or the OTC Disclosure & News Service, as applicable.

c. The Company Profile displayed on [www.otcmarkets.com](http://www.otcmarkets.com) is current and complete as of October 25, 2014 and includes the total shares outstanding, authorized, and in the public float as of that date.

d. The following is a complete list of attorney(s) and law firm(s) who advised or assisted in the preparation of the Company's most recent annual report, including in-house counsel: (If no attorney assisted in putting together the disclosure, indicate the person or persons who prepared the disclosure and their relationship to the company.)

Donald T. Locke, Esq.

e. The following is a complete list of third party providers, including names and addresses, engaged by the Company, its officers, directors or controlling shareholders, during the period from the Company's prior fiscal year end to the date of this OTCQB Certification, to provide investor relations services, public relations services, or other related services to the Company including promotion of the Company or its securities:

none

f. Listed below are the names, legal addresses and % of shares owned by all Officers, Directors and Control Persons (control persons are beneficial owners of more than five percent (5%) of any class of the issuer's equity securities). If any of the beneficial shareholders are corporate shareholders, the name and address of the person(s) owning or controlling such corporate shareholders and the resident agents of the corporate shareholders must also be included.

Name	Address (City and State only)	% Shares Owned
Scott E. Rickert, Director, CEO	Key West, FL	47% of common stock, includes all stock over which Mr. Rickert exercises voting control as GP of Rickert Family, Limited Partnership
Jeanne M. Rickert, Director, Chief Legal Officer	Key West, FL	<1% voting power plus beneficial economic interest in 1/3 of Rickert Family, Limited Partnership
Douglas Q. Holmes, Director	Cleveland, OH	<1%
Robert Ronstadt, Director	Gilmanton, NH	<1%
Howard Westerman, Director	Richardson, TX	<1%
Ronald J. Berman, Director	Jupiter FL	<1%
James Sharp, Director	Katonah, NY	8% of common stock (all owned by Carl Zeiss, Inc. of which Mr. Sharp is CEO)

Bruce V. Vereecken, CFO	Akron, OH	< 1%
Adam Wasserman, CAO	Weston, FL	0
Carl Zeiss, Inc. Corporation Service Company 80 State Street Albany, NY 12207-2543	Thornwood, NY	100% of Class Z common stock, and an aggregate of 8% of the common stock, but Class Z is non-voting
Rickert Family, Limited Partnership Corporate Creations Network Inc. 119 E. Court Street Cincinnati, OH 45202	Key West FL	99.9% of the Class B common stock, which is 47% of the common stock and 99% of the voting power, controlled by Scott Rickert as sole general partner

Date: October 24, 2014

Name of Certifying CEO or CFO: Scott E. Rickert

Title: CEO

Signature: /s/ Scott E. Rickert  
(Digital Signatures should appear as "/s/ [OFFICER NAME]")