



## Policy on Conflict Minerals

(Status: October 2021)

### Introduction

We are a global supplier of carbon black products, including high-performance specialty furnace black, gas black, lamp black, thermal black, acetylene black and other carbon blacks that tint, colorize and enhance the performance of polymers, plastics, paints and coatings, inks and toners, textile fibers, adhesives and sealants, batteries, tires, and mechanical rubber goods.

Orion Engineered Carbons is committed to acting in a socially and environmentally responsible manner, to complying with the law, to meeting its customer commitments, and to supporting its customers' businesses.

As many of our business partners have acknowledged publicly, the Dodd-Frank Act<sup>11</sup> created a new expectation for product manufacturers with respect to certain Conflict Minerals, although these manufacturers may be far removed from the source of such raw minerals in their products. As a responsible company, Orion Engineered Carbons supports the goal of the Dodd-Frank Act of preventing armed groups in the Democratic Republic of the Congo and adjoining countries (DRC) from benefitting from the sourcing of Conflict Minerals from that region.

Because of the complexity of many supply chains, and the lack of an established system for product manufacturers to track Conflict Minerals back to their source, the joint efforts over an extended period by many governments, industry groups, and companies will be required to make it possible to effectively trace Conflict Minerals back to their source.

This Policy shows Orion Engineered Carbons' commitment and its expectations for its product suppliers regarding actions to address Conflict Minerals, which can be summarized as follows:

- Support the aims and objectives of the Dodd-Frank Act concerning Conflict Minerals sourcing.
- Help our suppliers understand the due diligence steps they can take to investigate the source of any Conflict Minerals in the products they sell to Orion Engineered Carbons.
- Not continue to source from a supplier any product that contains Conflict Minerals if Orion Engineered Carbons determines the product is not DRC Conflict Free and the supplier fails to implement reasonable steps to transition to DRC Conflict Free sources.<sup>22</sup>

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<sup>1</sup> On July 21, 2010, the Dodd-Frank Wall Street Reform and Consumer Protection Act was signed into law. The Dodd-Frank Act and related 2012 U.S. Securities and Exchange Commission rules require certain companies to disclose whether the products they manufacture or contract to manufacture contain Conflict Minerals necessary for the production or the functionality of the products that are sourced from mines in the Democratic Republic of the Congo or adjoining countries. Conflict Minerals are tantalum, tin, tungsten and gold.

<sup>2</sup> Products are "DRC Conflict Free" if they contain only Conflict Minerals that did not originate in the DRC or an adjoining country, are from recycled or scrap sources, or have not benefitted the armed groups identified as perpetrators of the abuses that are the subject of the Dodd-Frank Act.



### **Commitment to Responsible Sourcing**

Orion Engineered Carbons supports the humanitarian goals of the Dodd-Frank Act and encourages the manufacturers of the products distributed by the company to adopt that same policy for their businesses.

The company does not directly purchase any raw Conflict Minerals from any source and is many levels removed from the mines, smelters, and refiners that produce the metals used in the production of carbon black.

### **Supplier Code**

Orion Engineered Carbons has the following expectations of its suppliers:

- Suppliers should not include in any materials sold to Orion Engineered Carbons any Conflict Minerals that are not DRC Conflict Free;
- Suppliers should develop Conflict Minerals policies, due diligence frameworks, and management systems that are designed to prevent Conflict Minerals that are not DRC Conflict Free from being included in the materials sold to Orion Engineered Carbons; and
- Orion Engineered Carbons' suppliers are expected to source Conflict Minerals only from sources that are DRC Conflict Free.

In doing so, suppliers will be expected to:

- implement and communicate to their personnel and suppliers policies that are consistent with this Policy, and require their direct and indirect suppliers to do the same;
- put in place procedures for the traceability of Conflict Minerals, working with their direct and indirect suppliers as applicable; source Conflict Minerals from smelters and refiners validated as being DRC Conflict Free, and require their direct and indirect suppliers to do the same;
- advise Orion Engineered Carbons of any determination that the supplier either has concluded or has a reasonable basis to believe that products it currently sells or has sold to Orion Engineered Carbons are not DRC Conflict Free;
- maintain reviewable business records supporting the source of Conflict Minerals; and
- from time to time, at Orion Engineered Carbons' request, provide Orion Engineered Carbons with information concerning the origin of Conflict Minerals included in products sold to Orion Engineered Carbons, which Orion Engineered Carbons shall be entitled to use or disclose in satisfying any legal or regulatory requirements or in any customer or marketing communications, notwithstanding the terms of any confidentiality agreements that do not specifically reference this paragraph.

Suppliers also are encouraged to support industry efforts to enhance traceability and responsible practices in Conflict Minerals supply chains.



### **Consequences of Supplier Non-Compliance**

Orion Engineered Carbons evaluates its relationships with its suppliers on an ongoing basis.

Orion Engineered Carbons reserves the right to evaluate the extent to which a supplier has failed to reasonably comply with this Policy.

Orion Engineered Carbons reserves the right to request additional documentation from its suppliers regarding the origin of any Conflict Minerals included in any products sold to Orion Engineered Carbons.

Suppliers who do not reasonably comply with this Policy may not be reviewed by Orion Engineered Carbons' supply chain organization for future business.

In the event Orion Engineered Carbons determines that a supplier's efforts to comply with this Policy have been deficient and the supplier fails to cooperate in developing and implementing reasonable remedial steps, Orion Engineered Carbons reserves the right to take appropriate actions up to and including discontinuing purchases from the supplier.

Nothing in this Policy is intended to in any way grant any additional rights or expectations to a Orion Engineered Carbons supplier or in any way modify or otherwise limit in any way any of Orion Engineered Carbons' contractual or legal rights.

### **Grievance Mechanism and Reporting**

Our employees, suppliers and other parties can report concerns and alleged violations of this Policy by emailing [compliance@orioncarbons.com](mailto:compliance@orioncarbons.com). You can also visit our website <https://www.orioncarbons.com/compliance> for further information about our Code of Conduct.

Reports can be made anonymously and will be kept confidential to the fullest extent practicable and allowed by law. We will not take any retaliatory action against our employees, suppliers, or other parties who make a report in good faith.

### **Conclusion**

Orion Engineered Carbons fully understands the importance of this issue to its customers and other business partners and is committed to supply chain initiatives and overall corporate social responsibility and sustainability efforts that work towards a DRC Conflict Free supply chain. We encourage all of our suppliers to likewise support these efforts.

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