

## **Advanced Energy Responsible Minerals Sourcing Policy**

Advanced Energy Industries, Inc. encourages its direct suppliers to have in place responsible minerals sourcing policies and due diligence measures that enable Advanced Energy to reasonably assure that certain minerals known as "conflict minerals": tantalum, tin, tungsten, and gold ("3TG"), in the products they sell to Advanced Energy, do not contain conflict minerals originating in the Democratic Republic of the Congo (DRC) and surrounding areas, or so-called Conflict Affected and High-Risk Areas (CAHRAs), unless the smelter involved is deemed "Conformant" by the Responsible Minerals Initiative (RMI) which has developed a certification scheme, the Responsible Minerals Assurance Process (RMAP), enabling smelters to become certified as "Conformant". Advanced Energy supports the humanitarian goal of ending violent conflict in these areas, which has been partially financed by the exploitation and trade of conflict minerals.

Advanced Energy conducts due diligence of our direct suppliers following the OECD Due Diligence Guidance for Responsible Supply Chains. In addition, to align with the Responsible Minerals Initiative (RMI), and due to the growing concerns relating to human rights violations beyond the scope of 3TG, Advanced Energy has expanded our definition of conflict minerals to include cobalt and mica.

OECD Annex II Risks have three criteria: Human Rights, Conflict, and Good Governance, including: serious abuses associated with the extraction, transport, or trade of minerals; direct or indirect support to non-state armed groups; public or private security forces; bribery and fraudulent misrepresentation of the origin of minerals; money laundering; payment of taxes, fees, and royalties due to governments.

To analyze risks in our supply chain, as detailed in the paragraph above, direct suppliers to Advanced Energy are asked to submit a completed Conflict Minerals Reporting Template (CMRT) which is developed by the RMI and provides information on the smelters and refiners being used. If direct suppliers provide cobalt or mica, they are asked to submit a completed Extended Minerals Reporting Template (EMRT). Using supplier submitted CMRTs and EMRTs, Advanced Energy performs a risk assessment to identify high-risk suppliers, and progressively urges these suppliers to eliminate non-conformant smelters in our supply chain.

Advanced Energy Industries, Inc.

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