



Green Procurement Standards (13.1th Edition)



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TOKIN Corporation

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1. Introduction

As set forth under its Environment Charter, the basic philosophy underlying all corporate activities carried out by TOKIN is, “TOKIN, based on material innovation, shall contribute to the development of an abundant earth and productive people. TOKIN will be environment-conscious in all aspects of our business activities”.

This philosophy was embodied in the 2003 issue of the “TOKIN Green Procurement Standards” developed as a set of guidelines for a green procurement policy, standards and inspections, and which has since been successively revised to accommodate supplier demand and international developments and trends in the relevant laws and regulations.

However, as a result of changes to the environment in which the Company operates, TOKIN is revising these standards for the twelfth revision, further to revisions made previous years. This was undertaken against a backdrop of revised supplier green procurement standards and candidate substance directives for substances of very high concern enforced in accordance with the European REACH regulations. Responding to European [\(EU\)2015/863](#) Directive Requirements.

We have included our Conflict Mineral Policy into these standards.

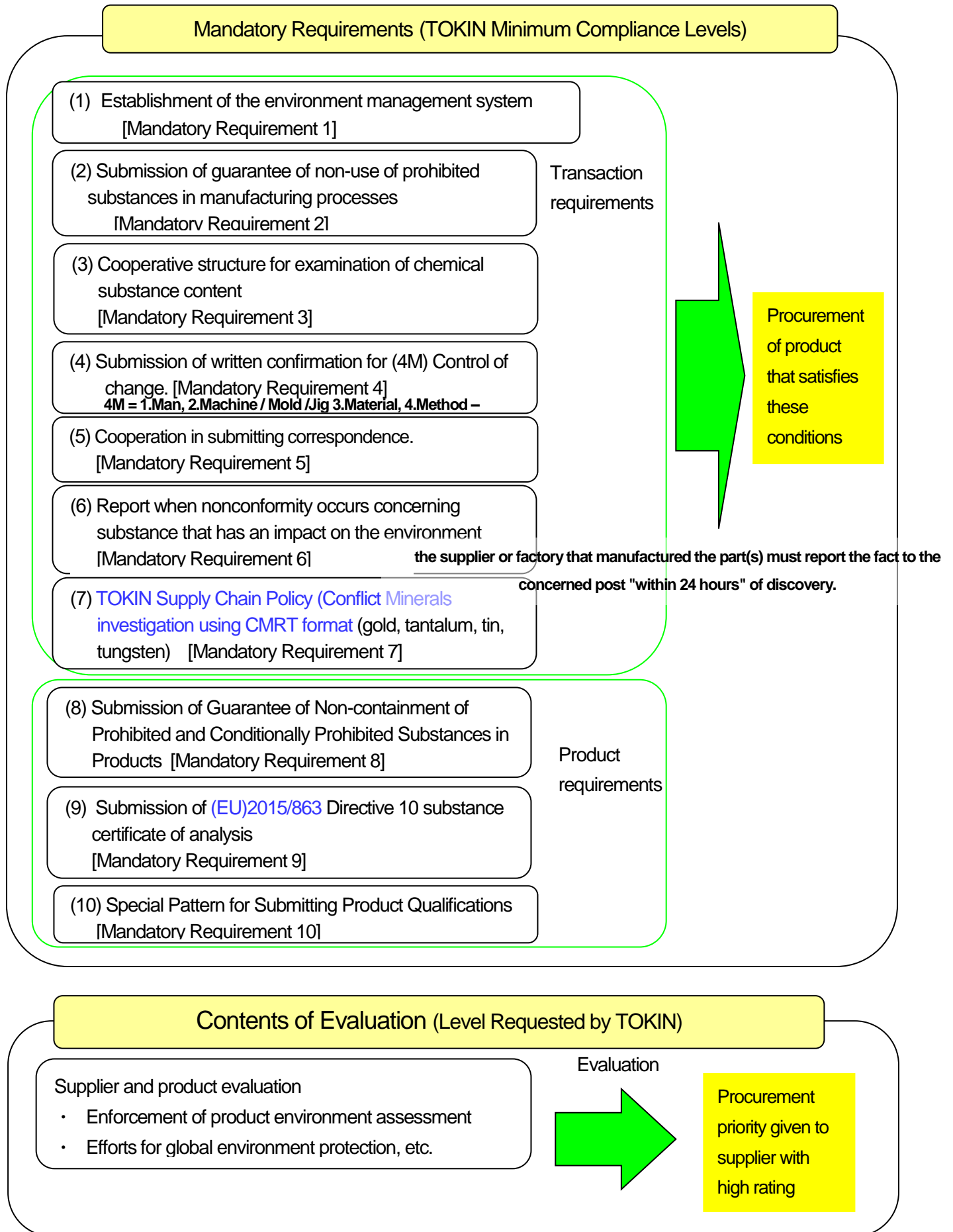
This revision has served to expand the scope of “the guarantee of the non-use of prohibited substances in Manufacturing processes” and “the guarantee of the non-containment of prohibited and conditionally prohibited substances in products” in particular, and to better clarify the obligations pertaining to the submission of high-precision analytical data of the European [\(EU\)2015/863](#) Directive Targeted 10 Substances.

TOKIN requires its suppliers to constantly submit both guarantees of non-use and inspection responses. We apologize for the inconvenience that such requirements create, and greatly appreciate the understanding and cooperation of our suppliers in this regard.

If product specifications require compliance to standards other than this standard, TOKIN will provide separate purchase specifications.

TOKIN will appropriately revise this green procurement standard according to changes in laws and social trends.

General Outline of TOKIN's Green Procurement Standards



2. Environment Charter for TOKIN

Basic Philosophy

TOKIN, based on material innovation, shall contribute to the development of an abundant earth and productive people. TOKIN will be environment-conscious in all aspects of our business activities.

Action Guideline

1. Develop Environment-Conscious Products

Consider environment and safety factors in development and design stages. Develop products that conserve natural resources, conserve energy, and that do not contain hazardous substances.

2. Environment-Conscious Manufacturing

Strive to improve and develop environment technologies for material procurement, Manufacturing, sales, logistics, and other steps. Plan a proactive approach so that materials and methods are harmonious with the environment.

3. Strengthen Environmental Management

Strengthen our regulations globally and obey all environmental laws and regulations. Prevent risks from happening by applying our environment management system. Continually improve environment management.

4. Cultivate Global Environmental Awareness

Increase awareness of the global environmental in all employees. Foster a global perspective so all employees understand and act with the environment in mind.

5. Promote Environment Communication

Make our environment protection activities publicly known. Be proactive in communication with society.

3. Scope

These standards apply to all tangible products (hardware products) procured to configure electric/electronic products and systems (hereinafter referred to as "TOKIN products") sold by TOKIN and TOKIN Group companies (hereinafter referred to as "TOKIN").

As used here, "hardware products" refers to the following;

Units, parts, materials, finished products (OEM products), packaging materials, equipment, chemicals, etc.

(1) Application to units, parts and materials

The standards apply to all units, parts, materials, packaging materials and chemicals that make up TOKIN products (does not include packaging materials for units, parts and materials), including secondary materials used by TOKIN (oil-based pen, adhesive tape, ink, stamps).

(2) Application to finished products (OEM products)

Applies to goods procured as finished products (OEM Products) and sold "as they are" by TOKIN (includes attached packaging materials).

(3) Application to equipment, etc.

This also applies to parts that come into contact with the product only in case it is possible that applicable substances adhere or migrate to products from molds, tools, gloves and/or mechanical equipment as they come into direct contact with TOKIN products during the TOKIN product manufacturing process.

4. Definition of "Green Procurement Products"

(1) Raw materials and parts/products procured by TOKIN (does not apply where delivery of hard product is involved)

Raw materials, parts and products used in TOKIN products shall be procured from suppliers who meet the Mandatory Requirements 1 ~ 7. (Section 6 of this document) "Green Procurement Products" are those that meet Mandatory Requirements 8 ~ 10. (Section 7 of this document)

(2) Other procured products

Emphasis is placed on the evaluation of the supplier's environmental management attitude concerning chemicals, gas, equipment, software and services. The environmental aspects of chemicals, gas and equipment will continue to be evaluated in advance (by means of advance evaluation of chemical substances and of equipment).

5. Definition of Terminology

Terminology used in these standards is defined as follows:

- Environmentally hazardous substance

Substance that could potentially have a significant impact (aspect) on the global environment and/or on human life, and which has been deemed to have said aspect by law/regulation or by TOKIN.

- Intentional use

Refers to intentional use in manufacturing products and/or parts where inclusion of such substances is preferable to maintain certain characteristics, appearance or quality.

- Substances Banned for Use in Manufacturing Processes

Refers to raw materials, parts or products that TOKIN prohibits using in the Manufacturing process, due to restrictions by law, regulations, etc. (group of 17 substances *1).

In principle, TOKIN does not purchase goods from a supplier who uses such substances in the manufacturing of any of its products. (Prerequisite) *Does not apply to refrigerant and/or fire extinguishing equipment.

*1: For details, see TOKIN Green Procurement Standards ([13th Edition](#)) (Appendices)

[Table 1] "Substances banned from use in the manufacturing process."

- Substances Banned for Containment in Products

Refers to substances that TOKIN prohibits using immediately in parts/material, due to law, regulations, etc. (group of **36** substances *2) for both substances themselves and their applications.

*2: For details, see TOKIN Green Procurement Standards ([13th Edition](#)) (Appendices)

[Table 2] "Banned substances."

- Conditionally Containment-prohibited Substances in Products

Refers to substances and its applications that TOKIN prohibits intentional use of and content in excess of limits (threshold values [*3]) (group of **23** substances *3).

*3: For details, see TOKIN Green Procurement Standards ([13th Edition](#)) (Appendices)

[Table 3] "Conditionally Containment-prohibited Substances in Products."

- Containment-prohibited Substances in Specific Products

Use intentional about a substances and the use that TOKIN constitutes it about a specific product a prohibition or regulation level (group of **3** substances *4)

*4: For details, see TOKIN Green Procurement Standards ([13th Edition](#)) (Appendices)

[Table 4] "**Containment-prohibited Substances in Specific Products.**"

- Containment-controlled substances

Refers to substances for which TOKIN must acquire accurate information on the actual state of use and must take into consideration health, safety/hygiene, proper disposal, etc. (group of **22** substances *5).

Applicable controlled substances are substances for which data concerning content concentration and whether or not they are used must be known, but intentional use and/or content of such substances is not restricted.

Additionally refers to substances, the data of which must be known in case the content concentration exceeds 1000 ppm or the substance is intentionally used.

*5: For details, see TOKIN Green Procurement Standards ([13th Edition](#)) (Appendices)

[Table 5] "Containment-controlled substances."

- Containment

Refers to a status where chemical substances are contained in parts, materials or products as ingredients or constituents. Also includes any chemical substances that are naturally contained (impurities) or are contained as residue of the general industrial purification stage (residual materials such as impurities, residual solvent or unreacted monomer).

- Limit (threshold value)

Refers to concentrations that must be guaranteed for parts and/or materials delivered to the TOKIN Group companies and products shipped from the factory of the TOKIN Group companies in the case where banned substances are not intentionally used but are contained as impurities.

- Content concentration

Refers to the concentration calculated with the mass of homogeneous materials as a denominator. "Homogeneous materials" refers to materials that cannot be mechanically broken down into other material or materials, such as the following:

*Compounds, polymer alloy, metal alloy, etc.

* Concerning raw materials for paint, adhesive, ink, paste, resin polymer, glass powder, ceramics, powder, etc., final forms processed by respective assumed usage / methods (Examples: paint and/or adhesives after drying/hardening; resin polymer after formation; glass/ceramics after formation)

*Single-layer paint, printing, plating, etc. In case of multiple layered, each layer is separately considered.

- Impurities

Refers to substances contained in natural materials and technically cannot be removed in the refining process as an industrial material, and/or substances that are produced in the synthetic reaction process and technically cannot be removed.

- Site

Refers to a homogeneous part that cannot be further divided. The surface treatment such as plating can be thought of as a site.

- 10 European (EU)2015/863 Directive substances

(Directive on the Restriction of the use of certain Hazardous Substances in electrical equipment)

The 10 European (EU)2015/863 Directive substances are; cadmium, lead, mercury, hexavalent chromium, polybrominated biphenyls (PBBs), polybrominated diphenyl ethers (PBDEs), Specific phthalic acid 4 substances (bis (2-ethylhexyl) phthalate / DEHP, butyl phthalate Benzyl / BBP, dibutyl phthalate / DBP, diisobutyl phthalate / DIBP) Addition.

- EU REACH Regulations

Refers to the EU Regulations on REACH (Registration, Evaluation, Authorization and Restriction of Chemicals), which went into effect June 1, 2007.

- SVHC (Candidate substances for authorization):

Substances of Very High Concern (SVHC) specified by the **Article 59, REACH** Regulation of EU. The substances selected have the characteristics provided by the Article 57. As of **June 27, 2018, 191 substances** are in the candidates list, and more will be gradually added. Article 33, REACH Regulation requires that any EU supplier of articles containing SVHCs in a concentration above 0.1% by weight of the formed product must provide the recipient with sufficient information. The specific additionally updated SVHC will be advertised on the website of the European Chemicals Agency (ECHA) every June and December every year, so check the information as appropriate and investigate the situation on the presence or absence and its use etc. Please grasp and report to TOKIN.

SVHC details are published on the European Chemicals Agency (ECHA) website.

http://echa.europa.eu/chem_data/authorisation_process/candidate_list_table_en.asp

JAPIAJAMA

- JAPIA JAMA / JAPIA unified data sheet (Japan Auto Parts Industries Association):

This document can be viewed from the website of the Japan Auto Parts Industries Association.

<http://www.japia.or.jp/datasheet/>

Abbreviation for Japan Automobile Manufacturers Association, Inc., Japan Automobile Manufacturers Association.

The JAMA sheet is a survey format for investigating chemical substances contained in parts and materials operated jointly by JAMA and Japan Auto Parts Industries Association (JAPIA).

chemSHERPA

This document can be viewed from the chemSHERPA website.

<https://chemsherpa.net/chemSHERPA/>

This is a common scheme for communicating information on chemical substances contained in products that can be used throughout the supply chain.

In order to properly manage chemical substances contained in products and respond to regulations that expand them, it is essential to convey information on chemical substances contained in products in the

supply chain. To respond to this, chemSHERPA is a tool to transmit information on chemical substances contained in products in the supply chain in a reliable and efficient manner.

(From the upstream to the downstream of the supply chain, realizing information transmission based on a common way of thinking, it is available in various industries without restricting the product industry.)

"Responsible information communication" is conducted together with efforts to solve the problem of management of chemical substances contained in products continuously, component information based on a common substance list, and compliance judgment information required for each product field for molded articles .

GADSL(Global Automotive Declarable Substance List)

This document can be found on the American Chemistry Council, Inc. website.

<http://www.gadsl.org/>

List of substances declaration and prohibited substances of IMDS (International Material Data System) used in the automobile industry.

P: Prohibited for all uses

D / P: Prohibition according to purpose of use, Declaration necessary for others

D: When using beyond the threshold, declaration is required so that it is necessary.

6. Transaction Requirements for Suppliers: Mandatory Requirements 1 - 7

Along with taking into account the reduction of the environmental impact of procured products themselves, TOKIN not only considers reduction of environmental impact of procured products themselves, but also regards it important elements in deciding from whom to procure whether suppliers and manufacturers of such products are taking proactive environmental conservation initiatives. TOKIN shall check the efforts of suppliers and manufacturer in environmental preservation and purchase from those suppliers and manufacturers (see notes) that satisfy the following requirements:

Note: For interpretation of supplier and manufacturer, see "8.1 Operation contact and survey targets for these standards."

1) Environmental Management System (Mandatory Requirement 1)

"An environmental management system shall be established for factories, offices, etc.. involved in development, manufacture and sale of products."

Establish an environmental management system to promote environmental conservation activities (including managing a system of chemicals contained in products). It is preferable that International Standards, ISO14001 certification be obtained, but Manufacturing factories (those located in Japan only) not planning to obtain ISO14001 certification should obtain third party certification of the following simplified environmental management system.

If obtaining third party certification is not possible, establish an in-house environmental management system (including a system of managing chemicals contained in products) at your company modeled on the following simplified system. (TOKIN may consider providing support for establishing an appropriate system upon request by the supplier.)

Overseas: Contact the pertinent institutions in the respective countries.

2) Non-use of Prohibited Substances in Manufacturing Processes (software services companies are exempt) **(Mandatory Requirement 2)**

Do not use prohibited substances that are determined by TOKIN in manufacturing processes.

Table 1: Environmental Impact Substances Prohibited for Use in Manufacturing Processes

No.	Substance Name
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1	CFCs
2	Specified halons
3	Carbon tetrachloride
4	1, 1, 1-trichloroethane
5	HBFCs
6	HCFCs
7	Methyl bromide
8	Bromochloromethane
9	1, 2-dichloroethane
10	1, 1-dichloroethylene
11	Cis-1, 2-dichloroethylene
12	1, 3-dichloropropane
13	Methylene chloride (dichloromethane)
14	Tetrachloroethylene
15	1, 1, 2-trichloroethane
16	trichloroethylene
17	Benzene

For details, see TOKIN Green Procurement Standards (13th Edition) (Appendices)

Request of submission of the above-mentioned certification (for details, see Table 1)

TOKIN requires suppliers to provide certification that confirms that **no banned** substances are used in the manufacturing process. The document submitted is considered to have obtained the consent of the company representative.

Suppliers are asked to submit such certification documents every time these standards are revised (once a year).

The supplier is not exempted from warranty against defects even if certification is not provided.

If the use of banned substance(s) in the manufacturing process cannot be avoided, we ask that the supplier submit a "Declaration of use of banned substances in the manufacturing process (Form 2-2)".

3) Framework for cooperating in chemical substance content survey (does not apply when no delivery of hardware products is involved) (Mandatory Requirement 3)

"The supplier must respond (offer to answer) to the survey of chemical substances contained in the product."

Checking "survey of chemical substances contained in the product" and offering content information is taken as a seller's responsibility.

Table 2 shows the framework. Substances in the "Survey of chemical substances contained in the product" means substances which the framework of Table 3 defines other than "Substances banned from being contained in products" and "Conditionally banned substances", which these standards specify. "Content-controlled substances" does not restrict intentional content and are positioned as substances that should report its existence and content concentration.

Offer of the existence information on content

- At any cost, candidate substances (SVHC) *6 for approval should recognize the existence of the content, and should respond as follows.

- (1) When Exceeding 0.1 Wt%, be sure to report content concentration.
 - (2) If not more than 0.1 Wt%, report content concentration to the extent that can be known.
 - (3) When SVHC is added, recognize the existence of content of an additional substance promptly, and respond according to the above (1) or (2).
- Other substances except SVHC should correspond as follows.
 - (1) Report content concentration to the extent that can be known.
 - (2) When content information newly comes to hand, report it promptly.
 - When there is neither the content of "Content-controlled substances" nor content information, report that there is no content.

The forms to report the existence information on content

- Substances and preparations: principle SDS, chemSHERPA.
- Molded products: In principle chemSHERPA, JAMA sheet, IMDS.

Products that should be reported on the existence of information on content

- Products required to report from TOKIN
- When it becomes clear that SVHC without a report that states the concentration exceeds 0.1 wt%, TOKIN asks for a cause investigation including pursuit of accountability.

[Table 2] Framework to Define Containment-controlled Substances (As of December, 2017)

Items that specifically define containment-controlled substances	Remarks
Table 3.2 (CMR Cat 1, 2) of the CLP Regulation	Excludes the substances banned from being contained in products and the conditionally containment-prohibited substances specified in these standards.
EU REACH Regulation Annex XVII (Table 3.2 (CMR Cat 1, 2) of the CLP Regulation have been excluded from Annex XVII to REACH	
EU REACH SVHC (Substances of Very High Concern)	
ESIS PBT (Fulfilled)	
JIG (Joint Industry Guide)	

4) Framework for cooperating in submission of "Control of Change" concerning 4M Change (does not apply in case no delivery of hard product is involved) (Mandatory Requirement 4)

"If change occurs, a Control of Change declaration must be submitted in advance concerning the factory where 4M is modified in product manufacturing."

(In case any item is changed from the status at the start of the survey or at the start of the new transaction, the form must be submitted in advance)

5) About consolidation / termination / business discontinuation / other communication letters (Mandatory Required requirement 5).

In business partners or factories that manufacture parts (referred to as manufacturers), product consolidation, business closure, others.

Please contact our department in charge at the appropriate timing about the correspondence matter.

6) Report when nonconformity occurs concerning substance that has an impact on the environment (Mandatory Requirement 6)

If a nonconformity such as product(s) delivered to TOKIN contain "a banned substance or conditionally banned substance" specified by TOKIN, the supplier or factory that manufactured the part(s) must report the fact to the concerned post "within 24 hours" of discovery.

Please refer to the TOKIN Green Procurement Standards (13th Edition) (Appendices)

7) Framework for cooperating in TOKIN Supply Chain Policy (Conflict Minerals investigation using CMRT format (gold, tantalum, tin, tungsten) (Mandatory Requirement 7)

CONFLICT METALS: If the goods are, or contain, tin, tantalum, tungsten, and/or gold (whether in raw or processed form, and whether or not combined with other materials), Seller hereby certifies that such metals have not been sourced in a manner which directly or indirectly finances or benefits armed groups in the Democratic Republic of the Congo or adjoining countries or in any region determined to be a conflict affected and high risk area (CAHRA) as defined in the Organisation for Economic Co-operation and Development (OECD) Due Diligence Guidance for Responsible Supply Chain of Minerals from Conflict-Affected and High-Risk Areas, which includes any entities located therein. In addition, Seller shall have and implement its own Conflict Mineral Policy which shall be aligned with Buyer's policy (available at <http://www.kemet.com/KEMET-Supply-Chain-Policy>), which shall include a commitment to legal compliance and shall be communicated to Seller's sub-suppliers. Seller shall ensure that purchased tin, tantalum, tungsten, and/or gold originates from smelters validated/certified by third parties in accordance with procedures adopted by the Responsible Minerals Initiative (RMI) as being conflict free. Seller shall work with sub-suppliers to ensure traceability of these metals within their goods, back down to smelter and mine. Upon request, Seller will provide Buyer with a completed conflict minerals declaration using the RMI Conflict Minerals Reporting Template (CMRT). Traceability data shall be maintained and recorded for 5 years.

Please refer to the following web site for supply chain policy.

<https://www.tokin.com/TOKIN-Policy-on-Conflict-Minerals/>

**7. Mandatory Requirements for Products (Requirement 8-10)
(do not apply when no delivery of hard products is involved)**

- 1) Submission of certification that banned substance or conditionally prohibited substance is not contained in products (Mandatory Requirement 8)

The supplier must guarantee that products do not contain banned or conditionally banned substances specified by TOKIN.

Table 3: List of **Substances Banned for Containment in Products**

For details, see TOKIN Green Procurement Standards (13th Edition) (Appendices)

Classification	No.	Substance class (name)
Substances Banned for Containment in Products	1	Asbestos
	2	Yellow phosphorus match (yellow (white) phosphorus)
	3	Benzidine and its chlorides
	4	4-aminodiphenyl and its chlorides
	5	4-nitrodiphenyl and its chlorides
	6	Bis (chloromethyl) ether
	7	Beta-naphthylamine and its chlorides
	8	Rubber cement containing benzene (benzene)
	9	Ozone-depleting substances (Montreal Protocol Substances Group I & II) *1
	10	Polyhalogenated biphenyls (PCB's) and polychlorinated terphenyls (PCT's)
	11	Polychlorinated naphthalenes (PCN) (chlorine count of 1 or more)
	12	Hexachlorobenzene

13	Aldrin
14	Dieldrin
15	Endrin
16	DDTs
17	Chlordane
18	Bis (tributyltin) oxide bis (tributyltin) oxide (TBTO) CAS No. 56-35-9 REACH/SVHC substance
19	Tri-substituted Organnostannic Compounds (including TBT and TPT)
20	N-para-phenylene-diamine *1
21	2,4,6-tri-t-butyl phenol
22	Toxaphene
23	Mirex
24	Kelthane (dicofol)
25	Hexachlorobuta-1, 3-diene
26	Radioactive materials
27	Short Chain Chlorinated Paraffins (sccps) (C10-13) REACH/SVHC substance
28	Specific benzotriazole 2-(2H-1,2,3-benzotriazole-il)-4,6-di-tert-butylphenol
29	Dimethyl fumarate (DMF)
30	Perfluorooctanoic acid (PFOA) REACH/SVHC substance
31	Polycyclic aromatic hydrocarbons (PAHs)
32	Hexabromocyclododecane (HBCDD and HBCD) and all main diastereoisomers REACH/SVHC substance
33	Tris(2-chloroethyl) phosphate (TCEP), Tris(2-chloro-1-methylethyl) phosphate (TCPP), Tris(1,3-dichloro-2-propyl) phosphate (TDCPP)
34	Arsenic and its compounds Arsenic pentoxide(CAS_No.1303-28-2) (As ₂ O ₅) Arsenic (III) oxide(CAS_No.1327-53-3) (As ₂ O ₃)
35	N-Phenyl-benzenamine reaction products with styrene and 2,4,4-trimethylpentene (BNST)
36	Some azo dye and pigments (colorants) that produce specified amines
37	Cadmium and its compounds European (EU)2015/863 Directive substance includes REACH/SVHC substance
38	Lead and its compounds European (EU)2015/863 Directive substance includes REACH/SVHC substance
39	Mercury and its compounds European (EU)2015/863 Directive substance
40	Hexavalent chromium compounds European (EU)2015/863 Directive substance includes REACH/SVHC substance
41	PBB European (EU)2015/863 Directive substance
42	PBDE (including decapbde) European (EU)2015/863 Directive substance
43	Bis (2-ethylhexyl) phthalate (DEHP) CAS No. 117-81-7 REACH/SVHC substance
44	Dibutyl phthalate (DBP) CAS No. 84-74-2 REACH/SVHC substance

Conditionally Containment- Prohibited Substances	45	Benzyl butyl phthalate (BBP) CAS No. 85-68-7 REACH/SVHC substance
	46	Diisobutyl phthalate (DIBP) CAS No. 84-69-5 REACH/SVHC substance
	47	di-isononyl phthalate (DINP)
	48	di-isodecyl phthalate (DIDP)
	49	Di-n-octyl phthalate (DNOP) CAS No. 117-84-0
	50	Formic aldehyde
	51	Perfluorooctane Sulfonate (PFOS) and its chlorides
	52	Cobalt chloride CAS No. 7646-79-9 REACH/SVHC substance
	53	Natural rubber
	54	Polyvinyl chloride (PVC) and PVC blends (including PVC copolymer)
	55	Hydrofluorocarbons (HFC) & Perfluorocarbons (PFC)
	56	Dibutyltin (DBT) compounds
	57	Diocetyl tin (DOT) compounds
	58	Beryllium oxide and its compounds
59	red phosphorus	
Containment Prohibited in Specified Product	60	other organobromine compounds
	61	other chlorinated organic compounds
	62	antimonous oxide (antimonytrioxide)

Request to submit the previously mentioned certification (for details, see section 9 "Documentation to be submitted.")

TOKIN requests its suppliers to submit certification to prove that content does not exceed the limit (threshold value). The company obtains consent for the submitted certification from a representative of the supplier.

Suppliers are asked to submit no-use certification documents every time these standards are revised (once a year).

The supplier is not exempted from warranty against defects even if certification is not provided.

2) Submission of European (EU)2015/863 Directive 10 substance analysis test results (Mandatory Requirement 9)

From analysis data of European (EU)2015/863 Directive 10 substances (only 4 heavy metals with the exception of resins [resin formed products, rubber products, ink, paint, adhesives, etc.]), analyze content for each site of products for analysis data (IPC, etc.), fill the "Content analysis data for European (EU)2015/863 Directive 10 substances" of the Form 4 and submit it with certification of analysis test results, etc. attached. Request to submit the above mentioned analysis test results (for details, see section 9 "Documentation to be submitted.")

The term of validity of analysis data (ICP, etc.) shall be effective as long as there is no change in composition of a use material, process, manufacturing place, etc. However, when composition of a use material, material change, etc. occur, please re-analyze and submit it.

Suppliers are asked to submit " European (EU)2015/863 Directive 10 substances analysis test results" every time these standards are revised (once a year).

The supplier is not exempted from warranty against defects even if certification is not provided.

In submission, your own format may be used instead of Form 4. You should however make sure the correspondence of the sites with the numbers of the analysis test results is clear.

The data is required through the supply chain, therefore, the suppliers are asked also to obtain and

submit analysis data published by their upper stream material suppliers

3) Special Pattern for Submitting Product Qualifications (Mandatory Requirement 10)

For specific substances designated by TOKIN, at the time we request Form 3-1 “Assurance That No Banned Substances are Contained in Products” we will also request the “Halogen-Free Certificate of Compliance” and the “Certificate of Compliance for Free of Specified Chemical Substances”. Please submit these three certificates together.

8. Request for Suppliers to Submit the Gurantee and EUROPEAN (EU)2015/863 DIRECTIVE Analysis Data

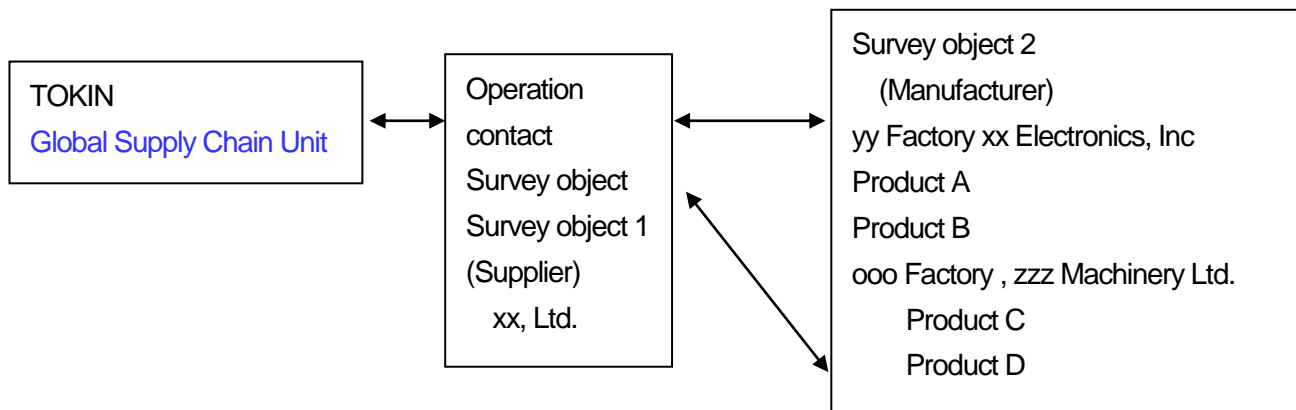
8.1 Standards operation contact and survey objects

Operation contact/survey objects (supplier)

Suppliers who deal directly with TOKIN materials department (supplying parties who issue/receive trade slips) are asked to provide an operation contact. Suppliers are asked to fill and submit a report only of their in-house environmental management system.

Survey objects (manufacturer)

Objects of the survey are factories that manufacture parts (manufacturer). These are ultimately factories that ship goods to TOKIN. If a single supplier handles multiple products or has multiple factories, multiple studies must be conducted separately.



8.2 Survey contents

The following items are surveyed.

Place the company stamp or the seal of the person in charge in the proper places on the form and submit.

(1) Survey of establishment of environmental management system by supplier and manufacturer (Requirement 1) action details

Supplier and manufacturer must submit Form 1 "Environmental management system report" to report a description of their environmental management systems.

(2) Survey of chemical substances contained (Mandatory Requirement 3) action details.

The TOKIN office of department in charge shall request our suppliers/manufacturers each time we conduct the survey, which we ask your cooperation in responding.

If the products delivered contain Substances of Very High Concern (SVHC) of REACH regulations, the information shall be obtained without delay, and submitted to our materials department by filling appropriate form shown below.

As for the survey form, basically it is chemSHERPA of 1) below.

Also, if necessary, we will specify one of 2)~ 3) below. (There are also requests with multiple types)

- 1) chemSHERPA
(Please use the latest version at the time of the survey request.)
ChmeSHERPA's homepage
URL: <https://chemsherpa.net/>

- 2) Published by Japan Automobile Manufacturers Association (JAMA) and Automobile Association of Industry Associations (JAPIA).
Survey Response Tool Format "JAMA Sheet" (Use the latest version at the time of the survey request.).
Home Page of Automotive Industry Association (JAPIA)
URL: <http://www.japia.or.jp/datasheet/>

- 3) International Material Data System (**IMDS**) survey response
International Material Data System (IMDS) Website
URL : <https://www.mdsystem.com/magnoliaPublic/ja/public.html>
Send the IMDS response to us at the following ID:
ID: 22415
Name: TOKIN Corporation

(3) Change management (Mandatory Requirement 4) action details

If there is any change in part/material configuration, manufacturing process, manufacturing equipment/tools, manufacturing location, person in charge of quality control, person in charge of environmental management, etc. (including contents of survey response forms, analysis data or substitution,) or if there are any changes in primary or secondary suppliers, enter the contents of the changes on the attached "Change Management Application (Form 6) and submit it in advance.

When submitting the change, re-submit all documents pertaining to the change (response in various formats, analysis data, etc.).

(4) Contact form (required requirement 5) correspondence details

We have newly added a form for receiving written correspondence about consolidation / business closure / other communication matter of products at suppliers or factories (manufacturers) manufacturing parts.

For contents that are not comparable until described in the "Change Management Application Form (Form 6)" above, please submit the details in the correspondence (Form 7).

(5) Correction management

If there are any corrections to the survey response content, clearly indicate the places that were corrected and resubmit.

(6) Supply chain management

Similar management is required to be applied to primary, secondary and subsequent suppliers in the supply chain.

8. 3 Assurance and Survey Frequency

(1) Establishment of environmental management system of supplier and manufacturer

To be surveyed each time this standard is revised (usually revised annually).

(2) Chemical content survey

To be surveyed each time these standards are revised (usually revised annually).

(3) (4M) Control of Change

When a change occurs in a business partner and a manufacturer, please submit "the Control of Change application" (From 6) beforehand.

(4) "Assurance that no banned substances are used in the Manufacturing process (From2-1) " and "assurance that no banned substances are contained in products (From3-1) "

To be submitted each time these standards are revised (revised annually).

(5) European (EU)2015/863 Directive 10 substances content analysis data

To be submitted each time the standards are revised (revised annually).

Suppliers are asked to provide the latest European (EU)2015/863 Directive 10 substances content analysis data, not older than 1 year. As for the analysis data, analysis data by a laboratory conforming to ISO / IEC 17025 to do.

Data analysis (ICP) shall start from the measurement month.

The term of validity of analysis data (ICP, etc.) shall be effective as long as there is no change in composition of a material used, process, manufacture place, etc. However, when composition of a material used, material change, etc. occur, please re-analyze and submit it.

8.4 Other

(1) Fill out the required items on the survey in the appendices and submit it to the proper TOKIN department.

(2) In some situations, conditions concerning green procurement such as purchase standards and specifications may be given separately. In such cases, the separate specifications are given preference over these standards.

(3) The data provided will be kept strictly confidential.

(4) **Environmentally hazardous substance** comes to need management every single part (Homogeneous materials) rank constituting a product.

For details, see the list of materials requiring special attention in " TOKIN Green Procurement Standards (13th Edition) (Appendices) Attachment 3" of these standards and examples of configuration sites in " TOKIN Green Procurement Standards (13th Edition) (Appendices) Attachment 4."

9. Documentation to be submitted**(In case of chemicals [substance, preparation])**

Submitted documentation breakdown		Form No.	Submission requirement		Remarks
			Supplier	Manufacturer	
(1)	Green procurement survey's applicable products list	Form 0	o	o	Required, respectively
(2)	Environmental management system establishment report	Form 1	o	o	Required, respectively
(3)	"Assurance that no banned substances are used in the manufacturing process" or "Declaration of use of banned substances in the manufacturing process"	Form 2-1	x	o	Required
		Form 2-2			
(4)	"Assurance that no banned substances	Form 3-1	x	o	Required

	are contained in product" or "Declaration of banned substance content."	Form 3-2			
(5)	European (EU)2015/863 Directive 10 substance content analysis data (Proof of ICP analysis data must be attached.)	Form 4	×	○	Required for chemicals containing organic compounds (ink, paint, adhesive, resin pellets, etc.)
(6)	Submission of SDS (Safety Data Sheet) or Table of ingredients(Mill Test Certificate etc.)	-	×	○	Required (As a rule, submit in written format for GHS). Submit the English and Japanese versions. (Or the English version).
(7)	(4M)Control of Change Application	Form 6	×	(○)	(Required) If change occurs, it must be submitted in advance.
(8)	Action for cooperation demand with "chemical substance content survey" (Submit in either chemSHERPA, JAMA Sheet format.or IMDS)	-	×	(○)	(Required) Submit when requested by TOKIN.
(9)	For customer qualification, submit the special pattern: Product Qualification for Products Containing Banned Substances	Form Halogen-free form, Free of Specified Substances form	×	(○)	(Required) Submit when requested by TOKIN.
(10)	TOKIN Supply Chain Policy (Conflict Minerals investigation using CMRT format (gold, tantalum, tin, tungsten)	CMRT format	○	(○)	(Required) Submit when requested by TOKIN.

(Formed product/part [article])

	Submitted documentation breakdown	Form No.	Submission requirement		Remarks
			Supplier	Manufacturer	
(1)	Green procurement survey / applicable products list	Form 0	○	○	Required, respectively
(2)	Environmental management system establishment report	Form 1	○	○	Required, respectively
(3)	"Assurance that no banned substances	Form 2-1	×	○	Required

	are used in the manufacturing process" or "Declaration of use of banned substances in the manufacturing process"	Form 2-2				
(4)	"Assurance that no banned substances are contained in product" or "Declaration of banned substance content."	Form 3-1 Form 3-1	x	o	Required	
(5)	European (EU)2015/863 Directive10 substance content analysis data (Proof of ICP analysis data must be attached.)	Formed product/part	Form 4	x	o	Required for formed product/part containing organic high polymer compound
		Packaging / wrapping material*	Form 4	x	o	Required
		*Limited to products procured by TOKIN for packaging its manufactured products. (Does not include packaging materials used for packaging products delivered to TOKIN.)				
(6)	Packing Material Nonconformity Report	Form 5	x	o	It limits it to the usage in which the product of TOKIN is packed.	
(7)	(4M)Control of Change Application	Form 6	x	(o)	It must be submitted in advance when any changes are foreseen.	
(8)	Cooperation with "chemical substance content survey" (Submit in either chemSHERPA, JAMA Sheet format or IMDS.)	-	x	(o)	(Required) Submit when audited or requested by TOKIN.	
(9)	For customer qualification, submit the special pattern: Product Qualification for Products Containing Banned Substances	Form Halogen-free, form, Free of Specified Substances form	x	(o)	(Required) Submit when requested by TOKIN.	
(10)	TOKIN Supply Chain Policy Conflict Minerals investigation using CMRT format (gold, tantalum, tin, tungsten)	CMRT format	○	(○)	(Required) Submit when requested by TOKIN.	

10. Analysis measurement (limited to European (EU)2015/863 Directive 10 substances and Halogen-Free)

TOKIN may conduct acceptance inspection of procured products and may analyze/measure substances of groups of substances that are regulated. TOKIN may also demand suppliers conduct analysis/measurement of products. If content/concentration is determined to exceed limits (threshold value)

as a result of such analysis (includes results of analysis by supplier), TOKIN may demand the supplier determine the origin of the problem including pursuing the warranty against defects. The European (EU)2015/863 Directive of "Appendices 2) of this documentation is applied to such measurement analysis method.

11. Exemption from Application

A supplier may be exempted from application of these standards only if TOKIN agrees in writing to exempt application and/or if expressly indicated so on drawings and specifications of the product to be procured.

12. Revision to standards

Any modification to these standards is to be posted on the TOKIN Website.

Note: These standards are also subject to change without notice.

The supplier should also comply with local laws or regulations of the country or area in which they are located concerning substances for which use is banned or restricted for any substances or applications not stipulated herein.

13. Revision History

April 1, 2003 First edition

March 1, 2004 Revision 1

July, 11, 2005 Revision 2

July 20, 2006 Revision 3

1. Changed Environment Policy to Environment Charter

April 23, 2007 Revision 4

1. Changed Scope of Application
2. Changed Environment Impacting Substances
3. Added request for analysis data for the 6 European (EU)2015/863 Directive substances

January 1, 2009 Revision 5

1. Altered to a 2-part structure comprising the Standards Document and the Appendices
2. Non-use Guarantee (Declaration Form) and Non-containment Guarantee (Declaration Form) forms revised as a result of alteration to number of substances
3. Alteration to Substances Prohibited in Manufacturing Processes (Group of 20 substances ⇒ Group of 16 substances)

Added (2 substances) : ①Benzene, ②Cis-1.2-dichloroethylene

Deleted (5 substances) : ①Chloroform(trihalomethane), ②1.4-dioxane, ③3.3-dichlorobenzidine, ④1.2-dichloropropane, ⑤Bromochloromethane

4. Alteration to Green Procurement Overview Standards

(Addition of submission of European (EU)2015/863 Directive Directive 6 Substance Certificate of Analysis, and clarification of 6 "Mandatory Requirements")

5. Alteration to number of Containment Prohibited Substances (36 substances ⇒ 26 substances), responded to supplier requirements, rearranged required items.

Shifted (5 substances): "PBBs", "PBDEs", "short-chain chlorinated paraffins", "2-(2H-1, 2, 3-benzotriazole-2-yl)-4, 6-di-tert-butylphenol", "polyvinyl chloride (PVC) and PVC mixtures" altered to "Conditional Containment-Prohibited Substances"

Amalgamated (2 substances): PCB substances and PCT substances amalgamated as a single substance group

New (2 substances): No.24 Kelthane, No.25 Hexachlorobuta-1, 3-diene

Deleted (6 substances) : (1) Thiuram, (2) Simazine, (3) Benthocarb (Thiobencarb) , (4) Chlorpyrifos, (5) Fenocarb, (6) Diazinon

6. Conditional Containment-Prohibited substance (6 substances ⇒ 16 substances) responded to supplier requirements.

Added (5 substances): Alteration of No.31 PBBs, No.32 PBDEs, No.35 certain short-chain chlorinated paraffins, No.38 Specific benzotriazole / 2-(2H-1, 2, 3-benzotriazole-2-yl)-4, 6-di-tert-butylphenol, No.42 Polyvinyl chloride (PVC) and PVC mixtures from

“Containment-Prohibited Substances” to “Conditional Containment-Prohibited Substances”

New (5 substances): No.36 Formaldehyde, No.37 Perfluorooctane sulfate (PFOs) and its chlorides, No.39 Cobalt chloride, No.40 Natural rubber, No.41 Beryllium oxide

June 10, 2009 Appendices Amended (Revision 5.1)

1. Alteration of “No.27 certain short-chain chlorinated paraffins” of P6/23 of the “Annexed Document” from Containment-Prohibited Substance to Conditional Containment-Prohibited Substance. Relisted as “No.35 certain short-chain chlorinated paraffins”.

2. Appendices P6/23-P10/23 amended to amalgamate the classification Nos. of the Conditional Containment-Prohibited Substances P6/23-P10/23 of the Appendices with the Classification Nos. of P9-P10 of the text of the Procurement Standards.

3. Addition of, (*excluding beryllium oxide*) to the item “No.3 Beryllium and its compounds” of the List of Containment-Controlled Substances [Table 4] of P10/22 of the Appendices.

May 13, 2010 Revision 6

1. In Article 6. Transaction Requirements for Suppliers, added clause 5) Report when nonconformity occurs concerning substance that has an impact on the environment and also made revisions to Article 6 (to accommodate improvements requested by customers)
2. In Article 7. Mandatory Requirements for Products, changed Requirement 5 and Requirement 6 to Requirement 6 and Requirement 7 respectively
3. In the Appendices, Changed Table 2: changed substance names, classifications and added substances. The details are below:
 - Changed No. 19 from “selected tributyltin (TBT) and triphenyltin (TPT)” to “Tri-substituted organostannic compounds (containing tributyltin (TBT) compounds and triphenyltin (TPT) compounds)
 - Reclassified No. 35 Short Chain Chlorinated Paraffins (SCCPs) (C10-13) from a Conditionally Containment-prohibited Substances in Products to No. 27 Substances Banned for Containment in Products
 - Changed the naming of “bis (tributyltin) = oxide (TBTO)” to “tributyltin oxide (TBTO) CAS No.56-35-9”
 - Reclassified No. 38 Specific benzotriazole 2-(2H-1,2,3-benzotriazole-yl)-4, 6-di-tert-butylphenol from Conditionally Containment-prohibited Substances in Products to No. 28 Substances Banned for Containment in Products
 - Reclassified “beryllium oxide” from Conditionally Containment-prohibited Substances in Products to No. 29 Substances Banned for Containment in Products
 - Added No. 30 dimethyl fumarate (DMF) to Substances Banned for Containment in Products
 - Changed the naming of No. 34 “azo dye and specific amines from refined pigment” to No. 38 “Aromatic Amines (Azocolorants and azodyes which form certain aromatic amines) ”

4. Added "Intentional Use", "Limit (threshold value)" and "Content concentration" to "5. Definition of Terminology"
5. Added item 9) to Item 9 "Documentation to be submitted" as well as the requirement to submit MSDS or SDS documents

July 1, 2011 Revision 7

1. Added SVHC and JAMP-GP to "5. Definition of terminology"
2. Specified the requirement to deliver by JAMP-AIS or t JAMP-MSDSplus as a rule in "6.Transaction requirements demanded of suppliers", 3) Framework for cooperating in chemical substance content survey (Requirement 3)
3. Added Dibutyltin (DBT) compounds and Dioctyltin (DOT) compounds to "Table 2: List of Containment-Prohibited Substances in Products (Ranked up to "Conditionally banned substances" from "Content-controlled substances"
4. Submission of European (EU)2015/863 Directive Directive 6 substance analysis test results (Requirement 7)
Changed the term of validity of analysis data (ICP, etc.) from within one year to until it is subject to change.
5. Framework for cooperating in chemical substance content survey (Requirement 3)
Specified to use basically AIS or MSDSplus as the survey response form
6. Deleted "TOKIN Machinery Co., Ltd " from TOKIN Group Company Name..

July 2, 2012 Revision 8

1. Updated the linking URLs.
2. Updated the substances in the Appendices
 - (1) Added "Lead in dielectric ceramic in capacitors for a rated voltage of 125 V AC or 250 V DC or higher" and "Lead used in other than C-press compliant connector systems" in "32 Lead and its compounds" of the "Conditionally Containment-prohibited Substances in Products.
 - (2) "Added "antimony trioxide" and "beryllium and its compounds" to the "Containment-prohibited substances in specific products."
 - (3) Added No. 18-25 to the "Containment-controlled substances."
 - (4) Updated the "SVHC list" by increasing substances from 53 to 84.
3. Deleted items of the Rating system from Form 1, added Form "Halogen-free" and Form "Specified Chemical Substances-free " and added the version number corresponding to the Standards to each form.

July 1, 2013 Revision 9

1. Revised Environment Charter
2. Added "③ Special Pattern for Submitting Product Qualifications (Mandatory Requirement 8)" to Article7, added ⑨ to Article 9
3. Updated chemical substances in the Appendices
 - (1) Revised limits in Article 3 Conditionally Containment-prohibited Substances in Products
 - (2) In Table 3 "Conditionally Containment-prohibited Substances in Products", revised limits for No. 33 mercury and its compounds, fluorescent lamps; revised phrasing for No. 37 specified phthalate compounds; and added phrasing for limit values for No. 45 dibutyltin compounds
 - (3) Revised limit conditions for Article 4 Containment-prohibited Substances in Specific Products and edited No. 7
 - (4) Revised Table 5 List of Substances of Very High Concern (SVHC) from 84 substances to 144

substances

4. Revised 1A list from "Certification Date" to "Renewal Date", corrected a clerical mistake in 3-2, edited descriptive text in Form 6 from "change classification" to "contents of change", revised substances in Specified Chemical Substance Free form

July 1, 2014 Revision 10

1. Added to Section 6: (6) Conflict Mineral Policy (4 mineral investigation using EICC format (gold, tantalum, tin, tungsten))
2. Revised Table 5 List of Substances of Very High Concern (SVHC) from 144 substances to 155 substances
3. In Table 3, specified phthalates into DEHP, DBP, and BBP (Nos. 40 ~ 42). Added 43 Diisobutyl phthalate (DIBP)
4. In Table 3, moved Beryllium oxide from Containment-Prohibited Substances to Conditionally Containment-Prohibited Substances No. 56 Beryllium oxide and its compounds
5. In Table 3, made 1 addition to Containment-Prohibited Substances: Nos. 30 to 34
6. In Table 3, made 4 additions to Containment Prohibited in Specified Products: Nos. 58 to 61

August 25, 2015

1. The chemical substance update "list of SVHC" is updated to 163 substances
2. Added No. 35 dimethyl fumarate (DMF) to Substances Banned for Containment in Products
3. Added No. 36 Some azo dye and pigments (colorants) that produce specified amines (Conditionally Containment-Prohibited Substances

⇒ **Substances Banned for Containment in Products**

4. Added No. 59 red phosphorus
5. [modification] change control ⇒ Control of Change

December 27, 2016

1. The chemical substance update "list of SVHC" is updated to 173 substances

July 07, 2017

1. Revision according to company name change (NECTOKIN ⇒ TOKIN)

January 31, 2018 Revision 13

1. Addition of transaction requirement: (5) Cooperation to submit contact form 《Required requirement 5》.
2. As an environmental impact substances prohibited for use in manufacturing processes add No.8 bromochloromethane.
3. Prohibited Substance No. 11 Change to polychlorinated naphthalene (PCN) (chlorine count is 1 or more).
4. Change to content analysis data (Form 4) of European (EU)2015/863 Directive II directive 10 substances.
5. JGPSSI · JAMP-AIS · JAMP-MSDSplus is abolished and chmeSHERPA is added in response to request for cooperation to "Survey on chemical substance content".
6. Chemical substance update of Annex
From the list of substances listed in the European REACH Regulation "SVHC List", the European Chemicals Agency (ECHA).
Changed to confirm URL of SVHC posted homepage.
- 7.5 Term definition

Added GADSL and chmeSHERPA (furthermore, JGIPPS, JAMP-AIS, JAMP-MSDSplus deleted)

8. European (EU)2015/863 10 substances.

Specific phthalic acid 4 substances (bis (2-ethylhexyl) phthalate / DEHP, butyl phthalate Benzyl / BBP, dibutyl phthalate / DBP, diisobutyl phthalate / DIBP) Addition.

December 10, 2018 Revision 13.1

1. TOKIN Supply Chain Policy (Conflict Minerals investigation using CMRT format (gold, tantalum, tin, tungsten)
2. RoHS II ⇒ (EU)2015/863
3. CONFLICT METALS

TOKIN Group Company Names

TOKIN America Inc.*

TOKIN Europe GMBH*

TOKIN Hong Kong Ltd*

TOKIN Electronics (Xiamen) Corporation

TOKIN Electronics (Vietnam) Co., Ltd.

TOKIN Electronics (Thailand) Co., Ltd.

TOKIN Corporation

* These are not Manufacturing sites. However, they are suppliers to the TOKIN Group so they use these standards for procurement.