



Product Regulatory Compliance Guidelines for KLA Suppliers

KLA Corporation is committed to complying with all regulations applicable to our products. As a leading provider of process control and yield management solutions for the semiconductor and other related nanoelectronics industries, our products are designed with a focus on not only current and future technological trends and advancements, but also environmental, health, safety, and other regulations and laws. Many of these regulations have criteria related to substances that could be in the components we buy. Therefore, we need relevant item and item packaging information from our supply chain to comply with applicable regulations.

KLA expects its suppliers to provide item and item packaging that conform to applicable product design and substance regulations and related information requirements, in the markets where KLA operates or supplies products. These markets include, but are not limited to, the United States, the European Union, China, Singapore, South Korea, Japan and Taiwan. Additionally, KLA expects its suppliers to assist the company in its compliance with laws relating to the responsible sourcing of conflict minerals, as described under Section D below

KLA suppliers are expected to provide, to the KLA Product Compliance email address (Product.Compliance@KLA.com), the relevant item and item packaging information for items that fall under the purview of sections A, B, and C below. Every submission should include the following information:

- Company name;
- Contact name, email, and phone number;
- The supplier part number and description;
- The KLA part number (if known);
- The regulation(s) for which they are providing information; and
- The relevant item and item packaging information.

Section A. Expectations Related to the European Union’s Restriction of the Use of Certain Hazardous Substances in Electrical and Electronic Equipment (RoHS) Directive 2011/65/EC, as amended, corrected or recast

1. Items should conform to the RoHS substance restrictions (e.g., 0.1% concentration by weight for lead, mercury, hexavalent chromium, polybrominated biphenyl (PBB) and polybrominated diphenyl



ether (PBDE), and 0.01% concentration by weight for cadmium - in any homogeneous material layer).

2. Suppliers should inform KLA immediately via the Product Compliance contact email of any RoHS exemptions (e.g., Annex III) used to achieve RoHS conformance in the item, providing:
 - a. The exemption index number from the RoHS Directive.
 - b. The exemption description and expiration date.

Note: Information on item packaging is not required for this section.

Section B. Expectations Related to the European Union’s Registration, Evaluation, Authorization and Restriction of Chemicals (REACH) Regulation 1907/2006, as amended, corrected or recast

1. Item packaging must be included in this consideration.
2. A substance listed in REACH Annex XVII (“Restrictions on the Manufacture, Placing on the Market and Use of Certain Dangerous Substances, Mixtures and Articles”) must only be present in an item or item packaging in accordance with the conditions of that restriction. Reference REACH Article 67
3. Suppliers should inform KLA immediately via the Product Compliance contact email of any REACH Candidate List substance present in an item or layer of item packaging in excess of 0.1% concentration by weight. The current Candidate List may be found at <http://echa.europa.eu/candidate-list-table>. Reference REACH Article 33.

Note: Suppliers can learn more about REACH criteria related to items and item packaging by reading guidance on “substances in articles” provided by the European Chemicals Agency (ECHA) at <http://echa.europa.eu/guidance-documents/guidance-on-reach>

Section C. Expectations Related to Various Battery Regulations

1. These criteria apply to separately packaged batteries and batteries embedded in equipment.
2. Suppliers should inform KLA immediately at the Product Compliance contact email of any batteries present in an item. This email should include the following information for each battery provided:
 - a) The battery size (e.g., AAA, CR2032);
 - b) Battery type (e.g., Alkaline, Lithium-ion, Nickel Metal Hydride);
 - c) The location of the battery in the item;
 - d) The possible OEMs and OEM part numbers*;
 - e) A Material Safety Data Sheet (MSDS) from each possible OEM;



- f) If the battery is a lithium battery, a UN 38.3 test certificate or report from each possible OEM; and
- g) For batteries with less than 0.0001% mercury by weight, a 'No-Mercury' declaration from each possible OEM.

*A supplier might source a battery, particularly one embedded in supplied equipment, from one or more OEMs

Note: Information on item packaging is not required for this section. This section is related to the European Batteries Directive (2006/66/EC), Chinese battery import, export and transportation regulations, and international air transport regulations related to dangerous goods. Suppliers can learn more about the European Batteries Directive at <http://ec.europa.eu/environment/waste/batteries/>, and more about international battery transportation concerns at <http://www.iata.org/whatwedo/cargo/dgr/Pages/lithium-batteries.aspx>.

Section D. KLA Supplier Expectations for Responsible Sourcing of Conflict Minerals

Additionally, KLA is committed to complying with Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act relating to the use of "conflict minerals." The law requires U.S. publicly traded companies, including KLA, to conduct reasonable inquiry and due diligence as necessary with respect to the sourcing of columbite-tantalite, cassiterite, wolframite (or their derivatives tantalum, tin, tungsten, respectively), and gold, including a determination as to whether trade in these minerals directly or indirectly finances or benefits the armed groups in the Democratic Republic of Congo (DRC) or adjoining countries. It is the policy of KLA to conform to all laws regarding the sourcing of conflict minerals that are used in our products. Concurrently, KLA will take steps to reasonably ensure the conflict minerals necessary to the functionality or production of its products are conflict free.

We expect our suppliers to be aware of this requirement and to respond in a timely manner to KLA's survey requests outlined below. We recognize that our compliance with these obligations will require time and effort from the members of our supply chain. However, we expect that suppliers will take reasonable, good faith steps toward assisting KLA to achieve its compliance obligations. Should you have any questions or concerns in complying with KLA's Conflict Minerals requirements, please email us at Conflict-Minerals@kla.com



1. KLA expects its suppliers to respond to a Responsible Minerals Initiative (RMI) Conflict Minerals Request Template (CMRT) survey each year covering all of the products supplied to KLA in that year.
2. KLA expects its suppliers to respond within 2 weeks of receipt of the survey request by completing the Conflict Minerals Request Template (CMRT) survey, or committing to an estimated completion date before the end of the year.

Note: Suppliers can learn more about the Responsible Minerals Initiative (RMI) Conflict Minerals survey at <http://www.responsiblemineralsinitiative.org/conflict-minerals-reporting-template/>.