

Act on Corporate Due Diligence Obligations in Supply Chains Policy

Policy Statement of Oerlikon Surface Solutions

January 2025



Policy Statement of Oerlikon Surface Solutions

1. What we stand for

Oerlikon Surface Solutions Holding GmbH (“Oerlikon Surface Solutions”) believes all human beings should be treated with dignity, fairness, and respect.

We are aware that our operations and supply chains may have a potentially detrimental effect on those human and environmental rights stipulated in the German Supply Chain Act (“GSCA”) and set out in **Annex 1** (“GSCA Rights”). Oerlikon Surface Solutions is committed to preventing, stopping, and/or mitigating appropriately any violations of those rights in the sphere of our influence and to ensuring that we are not involved in, or benefit from any violations. We rather aim to strengthen the respect in the sphere of our influence and foster positive effects.

Oerlikon Group¹ has rules of conduct to uphold its standards worldwide and define its business activities' ethical and legal framework. As part of Oerlikon Group, Oerlikon Surface Solutions is embedded in and committed to this framework. The said rules include the Oerlikon Group Code of Conduct, Oerlikon Group Non-Discrimination and Anti-Harassment Policy, Oerlikon Group Policy on Sustainability, Health, Safety & Environment, Oerlikon Group Policy Against the Use of Child Labor, as well as our Oerlikon Group Supplier Code of Conduct. This framework addresses our commitment to ethical and fair business and clearly expresses our expectations towards our employees², members of the management bodies, and suppliers. When local laws allow behavior that our Oerlikon Group Code of Conduct does not permit, our code prevails. If international standards on human and environmental rights extend beyond or conflict with local laws, we adhere to the local laws while trying - as far as possible - to uphold those international standards. Our human and environmental rights-related expectations of our direct suppliers, including those regarding the GSCA, are furthermore set out in our Oerlikon Group Supplier Code of Conduct. Our direct suppliers are expected to have an appropriate human rights risk management system and to adequately address these human and environmental rights expectations along their supply chain. To the extent possible, we expect them to support our GSCA activities. Concerning our joint ventures, Oerlikon Surface Solutions makes efforts - to the greatest extent possible - to implement our standards and ethical and legal

¹ Oerlikon Group means OC Oerlikon Corporation AG, Pfäffikon (Switzerland) with its direct and indirect subsidiaries, including Oerlikon Surface Solutions.

² The term “employee” in this statement refers to employees, executive staff, temporary employees, working students, graduands, apprentice and trainees of Oerlikon Surface Solutions and its subsidiaries.

framework in these companies' business operations and suppliers.

We know that specific GSCA-protected rights are more likely to be affected by our and our suppliers' business operations. Oerlikon Surface Solutions currently considers the following risks regarding the GSCA to be the most likely ones to occur in our operations and along our supply chains:

Labor management relations, freedom of association, collective bargaining, and appropriate wages

Oerlikon Surface Solutions operates globally and faces risks related to the assurance of international labor and social standards for its own and suppliers' employees. Oerlikon Group is committed to treating all employees fairly and with respect and to fully respecting applicable employment and labor laws wherever it operates. Integrity and team spirit are two of Oerlikon Group's core values and aim at a respectful working environment honoring employees' rights. Oerlikon Group's long-standing belief is that the interests of the Group and its employees are best served through a favorable, collaborative work environment with direct communication between employees and management. Oerlikon Group endeavors to establish these favorable employment conditions, to promote positive relationships between employees and managers, to facilitate employee communications, and to support employee development. Oerlikon Surface Solutions is fully committed to these expectations and principles. Oerlikon Surface Solutions constantly strives to increase employment opportunities and standards for our employees and - where possible - our suppliers' employees. Throughout our operations, we honor equal employment opportunities. Qualifications, skills, and experience are the basis for choosing and promoting our co-workers. We prohibit and do not tolerate discrimination and harassment. No one shall be discriminated against on grounds set out in item 7 of the GSCA **Annex 1**. Oerlikon Surface Solutions respects the legal rights of its employees to form, join, or refrain from joining worker organizations, including labor organizations or trade unions, and the right to collective bargaining. Oerlikon Surface Solutions complies with the applicable local laws regarding employee and third-party involvement and will not discriminate based on an employee's decision to join or not join a labor organization. Oerlikon Surface Solutions respects the rights of employees to organize themselves and makes managers aware of those rights. Oerlikon Surface Solutions also respects its employees' rights to take part in collective bargaining. We abide by legally binding collective agreements and work effectively and constructively with the employee

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representatives. We take care that employee representatives do not suffer discrimination and that they have open access to members in the workplace. Oerlikon Surface Solutions is committed to paying appropriate wages which are at least the minimum wage determined by the applicable law.

Furthermore, at Oerlikon Group, a safe work environment that is free from and provides for protection against human trafficking and slavery as well as unlawful forced and child labor is core for us. It is a group-wide principle that we expect our suppliers and any other third party to respect these human rights, regardless of local legislation and customs. We are aware that as a purchaser of tungsten and cobalt, Oerlikon faces the issue of conflict minerals or other critical materials. We have taken steps that anticipated these concerns. We have instituted a conflict mineral policy and due diligence measures across our supply chain following the applicable laws, as well as voluntary efforts, such as those advocated by the OECD in its Due Diligence Guidance for Responsible Supply Chains from Conflict-Affected and High-Risk Areas. In keeping with our commitment to corporate responsibility and upholding human rights across all operations, we are seeking to ensure that our suppliers exclusively source 3TG minerals from mines in conflict-free areas. Oerlikon Surface Solutions supports the EU Conflicts Minerals Regulation (2017/821) and the Dodd-Frank Wall Street Reform and Consumer Protection Act and has taken steps that anticipated its concerns.

Principle of “Zero harm to people”

As a manufacturing company and service provider, accidents are a risk that we cannot entirely avoid. Oerlikon Surface Solutions’s ambition concerning health and safety is “zero harm to people”. I.e. our goal is to ensure that no one comes to harm within Oerlikon Surface Solutions’ sites or while working for Oerlikon Surface Solutions at external locations. We therefore put a strong emphasis on the health and safety of our employees at our German and foreign sites. Oerlikon Group is committed to this principle and adherence to the relevant standards as well as monitoring of risks, accidents, and defined measures is not only done locally but also on the Oerlikon Group level. Our integrated management system aims to ensure that the applicable workplace health, safety, and environmental legislation is treated as a minimum standard in all areas where we conduct business. Our health, safety, and environment program, which is based on hazard recognition, risk assessment, and the elimination of risks, seeks to establish an incident-free work environment.

Environmental protection

With our Oerlikon Code of Conduct and Policy on Sustainability, Health, Safety & Environment, applicable to all employees and members of management bodies, we uphold our standards worldwide and define the ethical and legal framework of all our business activities. Our operations and manufacturing processes require amongst others the use of resources like land, water, and energy which results in emissions. Oerlikon Surface Solutions has long recognized the need to reduce the impact of our business on the environment. We therefore constantly strive to reduce the use and consumption of resources along our operations and the generation of waste and to take improvement measures in this respect. For water discharged, we comply with local regulatory requirements and regularly perform compliance checks on effluent discharged when conducting our health, safety, and environmental checks. We monitor our energy consumption regularly and continuously improve the quality of our reporting on waste. We further engage in analysis to identify energy consumption, waste disposal practices, and practices that result in greenhouse gas emissions that we need to manage more effectively. We work in close cooperation with our suppliers and local authorities to carefully control and minimize the impact that arises from our activities on the immediate and wider environment. Compliance with legal and official requirements for environmental protection is one of our principles. Maintaining a program for the continuous improvement of our environmental management system ensures that the objectives of this declaration are understood and observed through review and evaluation.

2. Our approach to implementing the GSCA and corresponding due diligence processes

As part of the human rights due diligence process, Oerlikon Surface Solutions strives for continuous improvement and further development.

Risk analysis

We understand it as part of our GSCA obligations to get an even better understanding and visibility of potential and actual risk aspects at our operations and along our supply chains. Oerlikon Surface Solutions will therefore continue its risk analysis with a specific focus on rights, covered by the GSCA, at its operations and its suppliers. This includes that GSCA risks are being analyzed from the perspective of

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(potentially) affected persons. For this risk analysis, we will continue to use an officially recognized analysis solution of an external provider to identify and evaluate GSCA risks potentially or resulting from our operations and our direct suppliers and supplier changes. We are using the external provider to ensure an initial risk mapping of our supply chain to identify inherent environmental and human rights risks so that we can conduct a more in-depth, targeted risk analysis and verification of the suppliers that present potentially higher risks.

After the regular risk assessment, we mitigate the risk with an established action plan. Our activities will also include an analysis of whether there exists competent evidence of GSCA risks along our supply chain and indirect suppliers. We regularly conduct a dialogue with internal stakeholders to gain additional insights on potential risk aspects for Oerlikon Surface Solutions. These dialogues create awareness for GSCA compliance. The risk analysis under the GSCA will be continued on an annual and occasion-related basis in the future, e.g. in case of material changes in our business activities the use of new materials or products, or competent evidence of GSCA risk at indirect suppliers.

When conducting the GSCA risk analysis, Oerlikon Surface Solutions considers that we (i) operate globally and have multi-national supply chains, (ii) procure raw material, semi-finished and finished products sourced and produced at different stages of upstream supply chains, and (iii) are positioned within of multistage supply chains of suppliers and sub-suppliers. Those facts lead to a certain complexity and diversity, and we consider them a material challenge to our risk analysis. Our above-mentioned rules of conduct address our commitment to and expectations concerning applicable GSCA rights. So far, adherence to our rules of procedures is to a certain extent monitored by a formal system that systematically and in a centralized manner gathers the data on which of our operations are considered to have potential risks of incidents, as well as which of our suppliers. For our suppliers, we have a supplier due diligence process as described below. We constantly make efforts to extend our supplier due diligence process to address further GSCA aspects and to collect additional information regarding potential GSCA risks. From the risks identified during our risk analysis, we will prioritize those risks that may have the most negative impact on the affected parties or environment and follow clear-cut action plans (with corrective actions). The prioritization will be based on our influence and our contribution to the issue, the severity of the (potential) negative impact, and the probability of the occurrence of the risk.

Complaints procedure

Oerlikon Group believes that an effective risk detection process must include a safe opportunity for whistleblowers to share their knowledge of risks and violations of rights with us. A robust whistleblowing process is therefore part of the compliance processes of Oerlikon Group, in which Oerlikon Surface Solutions has participated in the past. In the context of the GSCA, Oerlikon Surface Solutions strongly urges the reporting of any GSCA incidents to prevent and early detect as well as effectively mitigate potential adverse effects. Employees are encouraged to report complaints to their immediate supervisor, their department head, any senior manager of their business unit, their local human resources representative, or their local procurement representative. In addition, employees, representatives, suppliers, third parties' employees, and persons directly or indirectly concerned are encouraged to report complaints over the Oerlikon compliance communication channels – in particular our 24/7 Reporting Hotline "Speak Up". Our 24/7 Reporting Hotline "Speak Up" allows the complainant to bring up GSCA-related issues on a confidential and anonymous basis. Any reported complaint will be promptly investigated in a transparent and standardized process. If possible, we aim at cooperation with the complainant and an amicable and mutual development of actions and steps. In our rules of procedure for our complaints procedure, we commit ourselves to the protection of the whistleblower. Those rules of procedure and an overview of the responsibility and accessibility of the persons responsible are published on Oerlikon Group's homepage. In case of a justified suspicion or a specific allegation on GSCA risks or potential or actual violations at our operations, we will carefully assess the situation and matter of facts and define responsible steps to approach the situation.

Measures

Oerlikon Surface Solutions has a robust management system to ensure compliance with legal and regulatory statutes as well as internal standards. This management system comprises amongst others an allocation of clear responsibilities for decision-making and running the business and a compliance and risk management system. As a method, we use, among other things, an FMEA that we have further developed. It also includes training, communication, and consulting activities designed to provide the respective individuals with the information and resources necessary to fulfill their responsibilities and understand their roles in ensuring compliance.

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In the current initial phase of our risk analysis according to the GSCA, we implemented the following two measures:

- We systematically amend our risk management system by including GSCA risks, e.g. we are currently amending our supplier audit checklist with additional GSCA aspects. In addition, we intend to embed further specific GSCA due diligence processes in our management system on a personal, process and documentation level in the future.
- We believe that building and increasing awareness of the GSCA and stakeholder engagement is the first step to addressing our GSCA responsibility. We, therefore, provided training and workshops regarding our obligations under the GSCA to Legal Entity Heads, Procurement, HR, HSE and Quality employees. We also introduced the GSCA to our employees via our internal communication channel. We intend to continue the training and workshops at all levels as well as to give regular updates on our GSCA activities to our employees via our different communication channels.

Further prevention and remediation measures will be defined based on the results of our risk analysis and the prioritization of potentially identified risks. For the definition of those measures, we will also consider potential information received via our complaint procedure.

Our management system comprises a regular reporting of compliance issues to the management of Oerlikon Surface Solutions. We also have local management reviews, local board meetings, and compliance review board meetings to discuss compliance issues and aspects at the management board level of Oerlikon Surface Solutions on an annual basis. In the future, the reporting and discussions will also include the results of our risk analysis and specific GSCA aspects. We also aim to consider the results of the risk analysis concerning our business decisions on supplier choice, product development and responsibility, and other areas as may be identified by our risk analysis.

Oerlikon Surface Solutions has a supplier qualification and onboarding process for new suppliers. This process includes the acknowledgment of a supplier self-information and Oerlikon Supplier Code of Conduct, as well as supplier audits, including on-site audits, based on defined standards and criteria also including aspects regarding the GSCA. Our Oerlikon Group Supplier Code of Conduct is furthermore part of our standard supply agreements and conditions of supply.

We consider our processes, supply agreements, and conditions of supply an important measure for engaging our suppliers concerning the GSCA. We are aware that their effectiveness may be limited, nevertheless, we expect our suppliers to support this standard in their business operations and to adequately address this standard along their supply chain. However, Oerlikon Surface Solutions generally aims at developing long-standing supply relationships that will allow for a more sustainable dialogue and collaboration with our direct suppliers. We assume that this cooperative approach may further foster effective results in this respect.

Besides this, Oerlikon Surface Solutions is aware that our procurement strategy and practices may also inherit GSCA-protected risks directly and indirectly. We, therefore, consider GSCA aspects specifically in our procurement strategies and practices.

Based on the results of our risk analysis and information received via our complaints procedure, we will complement our existing procedures and measures with those preventive measures covering identified GSCA risks at our operations and along supply chains. If a potential or actual violation of the GSCA is found at the business operations of Oerlikon Surface Solutions or along its supply chains, we will take appropriate remedial action(s) to avoid, end, or minimize the extent of the violation by developing a responsible solution. This also includes to make reparations to affected persons. In case of potential or actual GSCA issues at direct suppliers, we will carefully review the issue and use our best efforts to take up and mitigate the issue in cooperation with the supplier. In case of severe violations we reserve the right to suspend or – as a last resort - to terminate the supply relationship if remedial actions do not take effect or less severe remedial actions are not available.

Regular assessment

Both the effectiveness of our prevention and remediation measures as well as our complaints procedure will be assessed on an annual and occasion-related basis for avoiding, mitigating, and remedying adverse effects on the GSCA. Occasions that would trigger an assessment are e.g., a supplier or material change or extension of the GSCA risk exposure at our operations or our direct suppliers due to the launch of new products or new projects or material changes of our business activities or fields.

We further intend to monitor regularly if our measures are followed. Concerning our operations, we intend to conduct due

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diligence checks, risk-based audits, regular GSCA compliance check surveys of employees and the management concerning issues as well as follow-up complaints on potential GSCA risks and violations. Concerning our direct suppliers, we will conduct regular risk-based audits of selected suppliers, such as commodity reviews, review of documents requested from the supplier as well as on-site audits, including aspects of social and ethics audits. It may be that our current or any future risk analysis identifies potential risks at our operations or our direct suppliers that are not appropriately addressed by those measures in place or identified to be enacted. In such a case, we will aim at the definition of a more appropriate measure to address such potential risks at our operations or along our supply chains. In any case – to the extent practical and feasible – the definition of our measures will consider the perspective of affected persons.

Reporting

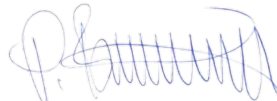
In our annual GSCA report, we will report on the fulfillment of our GSCA obligations. Such a report will include amongst others information on identified violations of GSCA Rights, risks that have been prioritized due to certain aspects, and corresponding measures taken. It will also provide information on steps taken because of tips or complaints received via our complaint procedure and conclude future measures and GSCA due diligence processes to be defined and taken. Our corporate social responsibility (CSR) and its presentation are based on international and national standards.

To comply with our human due diligence obligations, Oerlikon has defined certain responsibilities to monitor compliance with the due diligence obligations of the GSCA. These responsibilities lie with the Compliance, HSE, Supplier Quality, and Quality Manager at the Oerlikon Surface Solutions level.

This statement will be reviewed regularly and amended accordingly.

January 2025

The management board of Oerlikon Surface Solutions



Paul Bussinger



Christoph Huber



Michael Ribbe



Martin Reich

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GSCA ANNEX 1

The GSCA protects human and environmental rights referred to in section 2 para. 2 of the GSCA, as set out below. This also includes the Conventions and the rights referred to in these Conventions to which section 2 of the GSCA and the annex to section 2 refers to:

1. prohibition of the employment of a child under the age at which compulsory education ends under the law of the place of employment, provided that the age of employment shall in any event not be less than 15 years, unless the law of the place of employment deviates therefrom in accordance with Article 2 para. 4 and Articles 4 through 8 of the Convention No. 138 of the International Labor Organization dated 26 June 1973 concerning the minimum age for admission to employment (Federal Law Gazette 1976 II pp. 201, 202);
2. prohibition of the worst forms of child labour for children under 18 years including in accordance with Article 3 of the International Labor Organization Convention No. 182 dated 17 June 1999 concerning the prohibition and immediate action for the elimination of the worst forms of child labor (Federal Law Gazette 2001 II pp. 1290, 1291):
 - a. all forms of slavery or practices similar to slavery, such as the sale and trafficking of children, debt bondage and servitude, and forced or compulsory labor, including the forced or compulsory recruitment of children for use in armed conflicts,
 - b. bringing in, procuring or offering of a child for prostitution, for the production of pornography or for pornographic performances,
 - c. attracting, procuring or offering a child to engage in illicit activities, in particular the production of or trafficking in drugs,
 - d. work which, by its nature or by reason of the circumstances in which it is carried out, is likely to be harmful to the health, safety or morals of children;
3. prohibition of the employment of persons in forced labor; this includes any work or service which is exacted from a person under the menace of punishment and for which he has not offered himself voluntarily, e.g., as a result of debt bondage or trafficking in human beings; excluded from forced labor are work or services which are in compliance with Article 2 para. 2 of the Convention No. 29 of the International Labor Organization dated 28 June 1930 concerning forced or compulsory labor (Federal Law Gazette 1956 II pp. 640, 641) or Article 8 letters b and c of the International Covenant dated 19 December 1966 on civil and political rights (Federal Law Gazette 1973 II, pp. 1533, 1534);
4. prohibition of all forms of slavery, slave-like practices, servitude or other forms of domination or oppression in the workplace environment, such as extreme economic or sexual exploitation and humiliation;
5. prohibition of disregarding the occupational health and safety obligations applicable under the law of the place of employment if this creates the risk of accidents at work or work-related health hazards, in particular through:
 - a. obviously insufficient safety standards in the provision and maintenance of the worksite (Arbeitsstätte), the workplace and the work equipment,
 - b. absence of appropriate protective measures to avoid exposure to chemical, physical or biological substances,
 - c. absence of measures to prevent excessive physical and mental fatigue, in particular through inappropriate work organization in terms of working hours and rest breaks, or
 - d. inadequate training and instruction of workers;
6. prohibition of disregarding the freedom of association, according to which
 - a. employees are free to form or join trade unions,
 - b. formation of, joining and membership in a trade union shall not be used as a reason for unjustified discrimination or reprisals,
 - c. trade unions are allowed to operate freely and in accordance with the law of the place of employment; this includes the right to strike and the right to collective bargaining;
7. prohibition of unequal treatment in employment, e.g.,

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due to national and ethnic origin, social origin, health status, disability, sexual orientation, age, gender, political opinion, religion or belief, unless this is justified by the requirements of the employment; unequal treatment includes in particular the payment of unequal remuneration for work of equal value;

8. prohibition of withholding an appropriate wage; the appropriate wage shall be at least the minimum wage determined by the applicable law and shall otherwise be determined in accordance with the law of the place of employment;
9. prohibition of causing harmful soil change, water pollution, air pollution, harmful noise emission or excessive water consumption, which
 - a. significantly impairs the natural basis for the preservation and production of food,
 - b. denies a person access to safe drinking water,
 - c. impedes a person's access to sanitary facilities or destroys them, or
 - d. harms the health of a person;
10. prohibition of unlawful eviction and the prohibition of unlawful deprivation of land, forests and waters in the acquisition, development or other use of land, forests and waters, the use of which secures the livelihood of a person;
11. the prohibition of hiring or using private or public security guards for the protection of the enterprise's project if, due to a lack of instruction or control on the part of the enterprise, the use of security guards
 - a. violates the prohibition against torture and cruel, inhuman or degrading treatment,
 - b. violates life or limb, or
 - c. the freedom of association and the right to organize are impaired;
12. prohibition of an act or omission in breach of a duty that goes beyond numbers 1 to 11, which is directly capable of impairing a protected legal position in a particularly serious manner and the unlawfulness of which is obvious by a reasonable assessment of all the circumstances in question.
13. Prohibition to manufacture mercury-added products pursuant to Article 4 para. 1 and Annex A Part I of the Minamata Convention on mercury dated of 10 October 2013 (Federal Law Gazette 2017 II pp. 610, 611) (Minamata Convention).
14. Prohibition of the use of mercury and mercury compounds in manufacturing processes as defined in Article 5 para. 2 and Annex B Part I of the Minamata Convention as of the phase-out date stipulated for the respective products and processes in the Convention.
15. Prohibition of the treatment of mercury waste contrary to the provisions of Article 11 para. 3 of the Minamata Convention.
16. Prohibition of the production and use of chemicals pursuant to Article 3 para. 1 letter a and Annex A of the Stockholm Convention dated 23 May 2001 on persistent organic pollutants (Federal Law Gazette 2002 II p. 803, 804) (POPs Convention), as lastly amended by the Decision dated 6 May 2005 (Federal Law Gazette 2009 II p. 1060, 1061), as amended by Regulation (EU) 2019/1021 of the European Parliament and of the Council dated 20 June 2019 on persistent organic pollutants (OJ L 169, 26.5.2019, p. 45), as lastly amended by the Commission Delegated Regulation (EU) 2021/277 dated 16 December 2020 (OJ L 62, 23.2.2021, p. 1).
17. Prohibition of non-environmentally sound handling, collection, storage and disposal of waste in accordance with those laws being in force at the applicable jurisdiction pursuant to the provisions of Article 6 para. 1 letter d numbers (i) and (ii) of the POPs Convention.
18. Prohibition of exports of hazardous waste pursuant to Article 1 para. 1 and other waste pursuant to Article 1 para. 2 of the Basel Convention on the control of transboundary movements of hazardous waste and its disposal dated 22 March 1989 (Federal Law Gazette 1994 II pp. 2703, 2704) (Basel Convention), as lastly amended by the Third Ordinance amending annexes to the Basel Convention dated 22 March 1989, 6 May 2014 (Federal Law Gazette II pp. 306, 307), and within the meaning of Regulation (EC) No 1013/2006 of the European Parliament and of the Council dated 14 June 2006 on shipments of waste (OJ L 190, 12.7.2006, p. 1) (Regulation

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(EC) No 1013/2006), as lastly amended by Commission Delegated Regulation (EU) 2020/2174 dated 19 October 2020 (OJ L 433, 22.12.2020, p. 11)

- a. to a party that has prohibited the import of such hazardous and other waste (Article 4 para. 1 letter b of the Basel Convention);
 - b. to an importing state pursuant to Article 2 para. 11 of the Basel Convention which has not given its written consent to the particular import, if that importing state has not prohibited the import of that hazardous waste (Article 4 para. 1 letter c of the Basel Convention);
 - c. to a party not being a party to the Basel Convention (Article 4 para. 5 of the Basel Convention);
 - d. to an importing state if such hazardous waste or other waste is not managed in an environmentally sound manner in that state or elsewhere (Article 4 para. 8 sentence 1 of the Basel Convention).
19. Prohibition of exports of hazardous waste from countries listed in Annex VII to the Basel Convention to countries not listed in Annex VII (Article 4A of the Basel Convention, Article 36 of Regulation (EC) No 1013/2006).
20. Prohibition of the import of hazardous and other waste from a party not being a party to the Basel Convention (Article 4 para. 5 of the Basel Convention).