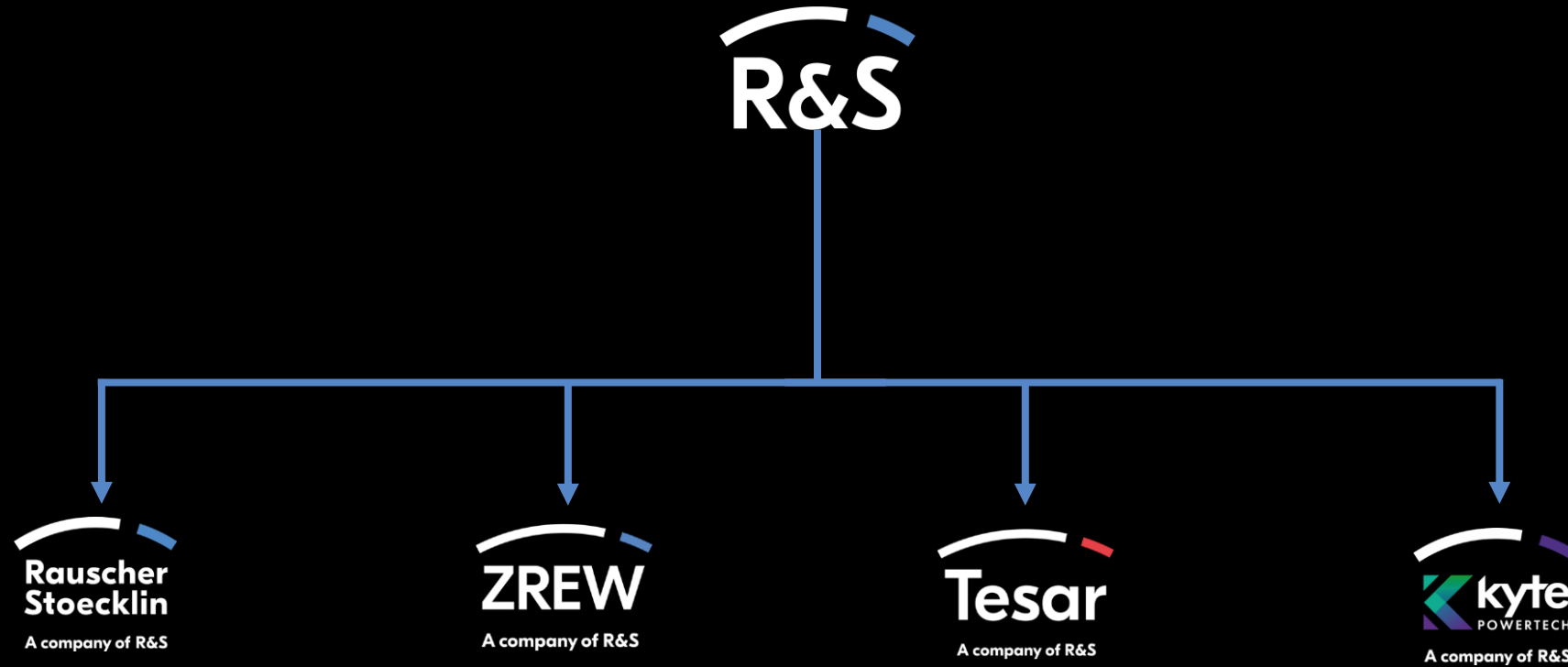




Conflict Minerals Reporting (English)



R&S Business Units



Conflict Minerals Reporting

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3TG

Tantalum



Tin



Tungsten



Gold



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3TG

“Conflict minerals”

Currently include the metals Tantalum, Tin, Tungsten and Gold, which are the extracts of the minerals cassiterite, columbite-tantalite and wolframite, respectively. Downstream companies often refer to the extracts of these minerals as 3TG.

Tantalum



Tin



Tungsten



Gold



Conflict-Affected and High-Risk Areas (CAHRAs)

Conflict-affected and high-risk areas are identified by the presence of armed conflict, widespread violence or other risks of harm to people. Armed conflict may take a variety of forms, such as a conflict of international or non-international character, which may involve two or more states, or may consist of wars of liberation, or insurgencies, civil wars, etc. High-risk areas may include areas of political instability or repression, institutional weakness, insecurity, collapse of civil infrastructure and widespread violence. Such areas are often characterized by widespread human rights abuses and violations of national or international law.

Hence it is important to note the country where the ore was mined from. Companies should ensure that good governance as defined by the UN Office of the High Commissioner for Human Rights (OHCHR) is followed and regularly audited by public institutions in the organizations from which it purchases its conflict minerals.

Criteria to be used to evaluate if a region is CAHRA or not: Conflict, Governance and Human Rights.

- Conflict — allowing for the assessment of whether an area is in a ‘state of armed conflict’ or is a ‘fragile post-conflict’ area.
- Governance — allowing for the assessment of the extent to which areas witness weak or non-existent governance and security.
- Human Rights — allowing for the assessment of whether an area is affected by widespread and systematic violations of international law, including human rights abuses.

An indicative, non exhaustive list of Conflict –Affected and High – Risk Areas under the Regulation (EU) 2017/821 is provided for assessment during evaluation.

3TG

Tantalum



Tin



Tungsten



Gold



Conflict Minerals Reporting Template (CMRT)

The CMRT was created by the Responsible Minerals Initiative (RMI) and is designed to follow the IPC-1755 Conflict Minerals Data Exchange Standard.

IPC-1755 Conflict Minerals Data Exchange Standard establishes the requirements for exchanging conflict minerals data between suppliers and their customers. This standard is intended to benefit suppliers and their customers by providing consistency and efficiency to the conflict minerals due diligence data exchange declaration process.

R&S is committed to responsible sourcing and complies with the Responsible Minerals Initiative (RMI) by completing and maintaining the Conflict Minerals Reporting Template (CMRT). This ensures transparency in our supply chain and alignment with international standards. The CMRT survey is used to comply with the EU Conflict Minerals Regulation that, as of January 2021, companies importing conflict minerals into the EU as ores and raw metals investigate and report annually whether these are related to Organization for Economic Co-operation and Development (OECD) Due Diligence Guidance Annex II Risks in regions defined as Conflict-Affected Areas and High-Risk Areas (CAHRAs).

Detailed information on the Conflict Mineral Policy of R&S, implementation and corrective measures are available [here](#).

High Risk Smelters:

A smelter is classified as high risk if it is located in any of the following regions:

- DRC and adjoining countries
- High Risk countries as per RMAP
- Non-Conformant Smelters
- G7 Sanctions
- Sanctioned countries (Uganda, Myanmar, North Korea, and Russia)

Additionally, the assessment identifies suppliers that source from smelters located in the Democratic Republic of the Congo (DRC), adjoining countries, and Conflict-Affected and High-Risk Areas (CAHRAs).

3TG

Tantalum



Tin



Tungsten



Gold



COMMON AREAS OF USAGE OF 3TG

Metal	Areas of usage
Tin	Solders for joining pipes and circuits , Tin plating of steel, Alloys(bronze, brass, pewter), PVC's
Tantalum	Capacitors(in most electronics), Carbide tools, Jet engine components
Tungsten	Metal wires, electrodes, Electrical contacts, Heating and Welding applications
Gold	Jewellery, Electric plating and IC wiring, Circuit boards

Conflict Minerals

(Template Structure)

3TG

The CMRT contains eight (8) visible sheets, some of which provide supplemental information for completing the template, others require user input.

Tantalum



- Revision sheet: Information on past revisions of the CMRT including description of functional change and updates to the smelter list.

Tin



- Instructions sheet: Additional information on how to complete the CMRT.

Tungsten



- Definitions sheet: Definition of terms used in the template.

- Declaration sheet: Mandatory questions and company information (required)

- Smelter List sheet: List of all smelters/refiners of 3TG in your supply chain as identified by your direct suppliers (required)

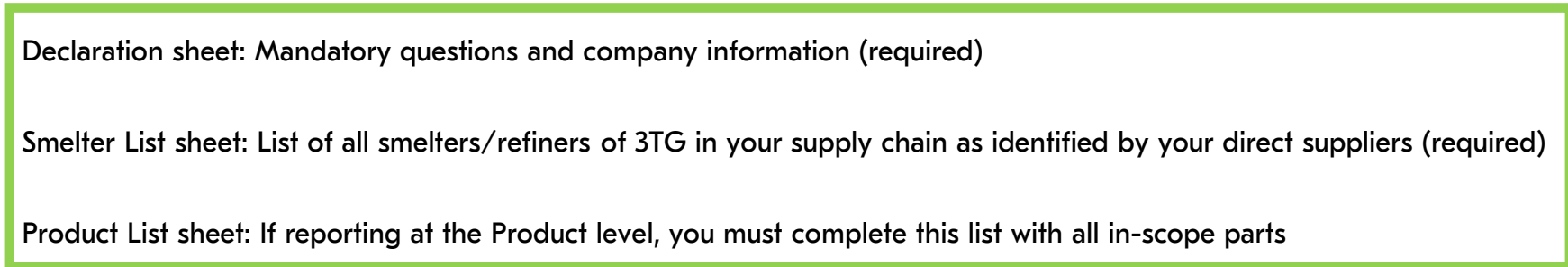
- Product List sheet: If reporting at the Product level, you must complete this list with all in-scope parts

- Checker sheet: Verification list to confirm the completion of all requirements within the CMRT.

Gold



- Smelter Look-up sheet: List of all identified smelters/refiners of 3TG as verified by the Responsible Minerals Initiative (RMI) – you may use this list as a reference in identifying actual smelters and refiners submitted by your direct suppliers and to confirm the information provided before submitting to your customer



User Input Required

Revision	Instructions	Definitions	Declaration	Smelter List	Checker	Product List	Smelter Look-up
----------	--------------	-------------	-------------	--------------	---------	--------------	-----------------



Conflict Minerals

(CMRT Declaration Overview)

3TG

Tantalum



Tin



Tungsten



Gold



The image shows a Conflict Minerals Reporting Template (CMRT) form. Red arrows point from the form to four numbered sections on the right: 1. Language Options, 2. Company Information, 3. 3 TG Questions, and 4. Policy Questions. The form includes fields for company name, address, and various questions related to conflict minerals (tin, tantalum, tungsten, and gold) sourcing and policies.

1. Language Options

2. Company Information

3. 3 TG Questions

4. Policy Questions

The Declaration worksheet is used to collect basic company and sourcing information on tin, tantalum, tungsten and gold used in products.

Mandatory fields are marked with an asterisks (*)



Conflict Minerals

(Template Language Options)

3TG

Tantalum



Tin



Tungsten



Gold



The screenshot shows the Conflict Minerals Reporting Template (CMRT) interface. On the left is the Responsible Minerals Initiative logo. The main content area contains the text: "Select Language Preference Here:" followed by translations in Chinese, Korean, Japanese, French, German, Spanish, and Turkish. Below this is the text: "The purpose of this document is to collect sourcing information on [redacted] and gold used in products". A dropdown menu is open, showing the following options: English, 中文 Chinese, 日本語 Japanese, 한국어 Korean, Français, Português, Deutsch, and Español. To the right of the dropdown, there is a "Link to Terms & Conditions" and the text "Revision 6.1 April 28, 2021".

- ### Guidelines
- If required convert the template into your preferred language using the drop down.
 - Complete Company Information and all Comment fields in **English**.
 - Change language selection to English prior to submitting

- ### Available Language Options
- English, Chinese, Japanese, Korean, French, Portuguese, German, Spanish, Italian, Turkish

Conflict Minerals

(Company Information – Row 8-II)

3TG

Tantalum



Tin



Tungsten



Gold



Company Name (*): Insert the company's legal name. Please do not use General Terms. This field is **mandatory**.

Declaration Scope or Class (*): Select the company's declaration scope. This field is **mandatory**.

The options for scope (pull-down option) are:

- A. Company For "Company ", the declaration applies to all the products manufactured by the company. Therefore, if the user is reporting 3TG data at the company level, they will be reporting conflict minerals data on all products they manufacture.
- B. Product (or List of Products) For Scope selection of "Product (or List of Products)", the declaration applies to only certain products. If this scope is chosen, it is mandatory to list the Manufacturer's Product Number of the products covered under the Scope of this Declaration in Column B of the Product List worksheet.

Company Name (*):
Declaration Scope or Class (*):
Description of Scope:

Completion required only if reporting level "Product (or List of Products)" selected on the 'Declaration' worksheet.

Manufacturer's Product Number (*)	Manufacturer's Product Name	Comments

[Click here to return to Declaration tab](#)

- C. User-Defined For Scope selection of "User Defined", it is mandatory that the user describes the scope to which the 3TG disclosure is applicable. The scope of this class shall be defined in a text field by the supplier and should be easily understood by customers or the receivers of the document. As an example, companies may provide a link to clarifying information.

Conflict Minerals

(Company Information – Row 12-17)

3TG

Tantalum



Company Unique ID: Insert the company's unique identifier number or code (DUNS number, VAT number, customer-specific identifier, etc.). This field is optional.

Company Unique ID Authority: Insert the source for the unique identifier number or code ("DUNS", "VAT", "Customer", etc.). This field is optional.

Address: Insert your full company address (street, city, state, country, postal code). This field is optional.

Company Unique ID:
Company Unique ID Authority:
Address:
Contact Name (*):
Email - Contact (*):
Phone - Contact (*):

Tin



Contact Name (*): Insert the name of the person to contact regarding the contents of the declaration information. This field is mandatory.

Email – Contact (*): Insert the email address of the contact person. This field is mandatory.

Tungsten



Phone – Contact (*): Insert the telephone number for the contact. This field is mandatory.

Gold



Conflict Minerals

(Company Information – Row 18-22)

3TG

Tantalum



Tin



Tungsten



Gold



Authorizer (*): Insert the name of the person who is responsible for the contents of the declaration information. The authorizer may be a different individual than the contact person. It is not correct to use the words “same” or similar identification to provide the name of the authorizer. This field is **mandatory**.

Title - Authorizer: Insert the title for the authorizing person. This field is **optional**.

Email - Authorizer (*): Insert the email address of the authorizing person. If an email address is not available, state “not available” or “n/a.” A blank field may cause an error in form implementation. This field is **mandatory**.

Phone - Authorizer (*): Insert the telephone number for the authorizing person. This field is **mandatory**.

Effective Date (*): Please enter the date of completion for this form using the format DD-MM-YYYY. This date should represent the current status of your supply chain. This field is **mandatory**.

Authorizer (*):
Title - Authorizer:
Email - Authorizer (*):
Phone - Authorizer (*):
Effective Date (*):

Conflict Minerals

(Due Diligence Questions – Row 24-71)

3TG

These eight questions define the usage, origination and sourcing identification for each of the metals used in the supply chain.

Tantalum



Tin



Tungsten



Gold



Guidelines

If the response for a given metal to question 1 and question 2 is **"Yes"**, then the subsequent questions shall be completed for that metal and the following due diligence questions shall be completed about the company's overall due diligence program.

If the response is **"No"** for any of the metals in questions 1 or 2, automatically the following questions for that particular metal will be blocked.

If the response is **"No"** for all the metals in question 1, then Row 31-71 would be blocked, and no further questions need to be answered in the questionnaire.

1) Is any 3TG intentionally added or used in the product(s) or in the production process? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

2) Does any 3TG remain in the product(s)? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

3) Do any of the smelters in your supply chain source the 3TG from the covered countries? (SEC term, see definitions tab) (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

4) Do any of the smelters in your supply chain source the 3TG from conflict-affected and high-risk areas? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

1) Is any 3TG intentionally added or used in the product(s) or in the production process? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

2) Does any 3TG remain in the product(s)? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

3) Do any of the smelters in your supply chain source the 3TG from the covered countries? (SEC term, see definitions tab) (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

4) Do any of the smelters in your supply chain source the 3TG from conflict-affected and high-risk areas? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

5) Does 100 percent of the 3TG (necessary to the functionality or production of your products) originate from recycled or scrap sources? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

6) What percentage of relevant suppliers have provided a response to your supply chain survey? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

7) Have you identified all of the smelters supplying the 3TG to your supply chain? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

8) Has all applicable smelter information received by your company been reported in this declaration? (*)

	Answer
Tantalum (*)	<input type="text"/>
Tin (*)	<input type="text"/>
Gold (*)	<input type="text"/>
Tungsten (*)	<input type="text"/>

3TG

Tantalum



Tin



Tungsten



Gold



1) Is any 3TG intentionally added or used in the product(s) or production process? (*)

Yes – If 3TG is added because it is necessary to the functionality or production of a product, regardless of the amount.

No – If 3TG is NOT intentionally added or used, even if products include trace level 3TG contaminant.

Guidelines

- If 3TGs such as tin used as a solder in tin plating finishings, additive in paint or synthetic resin, float glass tin, and tantalum used as welding rod,, tungsten used as an additive in the manufacture of long steel, the answer should be "Yes".
- If products are assembled with components using alloys of Gold or Tungsten, the answer should be "Yes".
- If the product has naturally occurring tin as seen in bauxite which is used to produce aluminium, the response should be "No".
- If the product has trace amounts of tin that maybe found in recycled steel, the response should be "No".

Caution

Before you answer "No" to any metal in Question 1, consider the following: You must report if there is any amount of 3TG (including .000001%) intentionally used in your product. There is no "de minimis" amount of material under the rule. Understand that if any of these metals are intentionally added anywhere within your supply chain, they are considered intentionally added to your product.

3TG

Tantalum



Tin



Tungsten



Gold



2) Does any 3TG remain in the product(s)? (*)

Yes – If 3TG is necessary for the functionality or production and is contained in the finished product, regardless of source. A “Yes” answer to this question for any metal will require the applicable smelters to be provided in the Smelter List tab.

No – If 3TG is not present in the finished product.

Guidelines

- If 3TG is added because it is necessary to the functionality or specifications of a product, it will obviously remain in the product, the response should be “Yes”.
- If 3TGs such as tin used as a catalyst in the production process, float glass tin, and tantalum used as welding rod, remain in the product, the answer should be “Yes”.
- If 3TG used as a catalyst no longer is present in the final product, the response should be “No”.
- If Tungsten carbide blade or drill bit is used in the manufacture, but no tungsten remains in the finished product, the response should be “No”.

3TG

Tantalum



Tin



Tungsten



Gold



3) Do any of the smelters in your supply chain source the 3TG from the covered countries? (*)

Yes – If 3TG originates from DRC and / or adjoining countries*.

No – If none of the 3TG originates from DRC and adjoining countries or the company has determined that all smelters source 100% recycled scrap. (Specify in the comments if it is from recycled scrap)

Unknown - If it is unclear whether smelters in your supply chain source from Covered Countries.

Caution

The location of the smelter / refiner does not determine the source of the 3TG. While some smelters / refiners do source locally, many import 3TGs from other countries.

3) Do any of the smelters in your supply chain source the 3TG from the covered countries? (SEC term, see definitions tab) (*)

	Answer	Comments
Tantalum (*)	No	
Tin (*)	No	
Gold (*)	Yes	CID001947 (China), CID002587 (Belgium)
Tungsten (*)	Yes	

The "Covered Countries*" are: Democratic Republic of Congo, Republic of the Congo, Central African Republic, Angola, Zambia, Tanzania, Rwanda, Burundi, Uganda, South Sudan

Comments must be provided if the response is "Yes"

3TG

Tantalum



Tin



Tungsten



Gold



4) Do any of the smelters in your supply chain source the 3TG from conflict-affected and high-risk areas? (*)

Yes – If 3TG is sourced from CAHRA*. At present the CAHRA would at the minimum include the Covered Countries. So, if “Yes” was provided as a response in Question 3, this question would also be answered as a “Yes”.

No – If 3TG is not sourced from CAHRA. (Specify in the comments if it is from recycled scrap)

Unknown - If it is unclear whether smelters in your supply chain source from CAHRA.

Guideline

If “Yes” is given as a response, provide smelter name and CID number in the comments.

CAHRA* - Conflict-Affected and High-Risk Areas

3TG

5) Does 100 percent of the 3TG (necessary to the functionality or production of your products) originate from recycled or scrap sources? (*)

Tantalum

Yes – If 100% of the 3TG comes from recycled or scrap sources.



No – If some of the 3TG does not come from recycled or scrap sources. (Specify in the comments if it is from recycled scrap)

Unknown - Unclear whether 100% of the 3TG comes from recycled or scrap sources.

Tin



Caution

- If any of your products contain 3TG that is not from scrap or recycled sources, respond "**No**."
- If the purchased materials is from a refiner which has mixed sources of materials, including some non-secondary materials (also known as 'mined, respond "**No**".

Tungsten



Gold



3TG

Tantalum



Tin



Tungsten



Gold



6) What percentage of relevant suppliers have provided a response to your supply chain survey? (*)

- 100% - Select if, to the best of your knowledge, all suppliers have reported
- Greater than 90%
- Greater than 75%
- Greater than 50%
- 50% or less
- None

Guideline

For all answers other than "100%", provide comments explaining the reason for this answer, such as supplier refusal to report, unsure of all suppliers, or other.

3TG

Tantalum



Tin



Tungsten



Gold



7) Have you identified all of the smelters supplying the 3TG to your supply chain? (*)

Yes: If all the smelters supplying 3TG to the supply chain have been identified.

No: If all the smelters supplying 3TG to the supply chain have NOT been identified.

Caution

- This question can be answered as "Yes" only if the 100% response is received from all the suppliers (Question 6).

3TG

Tantalum



Tin



Tungsten



Gold



8) Has all applicable smelter information received by your company been reported in this declaration? (*)

Question 8 requires you to indicate whether you disclosed all information you received from your suppliers.

Yes: If all applicable smelter information received is reported.

No: If all applicable smelter information received is NOT reported.

Guideline

Some companies may require substantiation for a "No" answer, which should be entered into the Comments Field. Should there have been any information that was received from the supplier and excluded from being reported, please indicate in the comment field along with the reason.

(Rows 75 - 89)

3TG

Tantalum



Tin



Tungsten



Gold



A. Have you established a Conflict Minerals Sourcing Policy? (*) This field is **mandatory**

Yes: If the company has a conflict minerals sourcing policy in place.

No: If the company does not have a conflict minerals policy in place.

Note: Comments should be provided in the comments field.

B. Is your conflict minerals sourcing policy publicly available on your website? (Note – If yes, the user shall specify the URL in the comment field.) (*) This field is **mandatory**.

Yes: If the company's conflict minerals sourcing policy is publicly available on the company's website.

No: If the company has a policy that is not publicly available on the company's website, or no policy exists.

Note: Provide a direct link (URL) to the policy in the comments section for "Yes" answers.

Conflict Mineral Sourcing Policy should include the following key aspects –

- Conflict Minerals Usage (3TG)
- Smelter/ Refiner Information
- Source of Conflict Minerals (CAHRA)
- Risk Mitigation

(Rows 75 - 89)

3TG

Tantalum



Tin



Tungsten



Gold



C. Do you require your direct suppliers to source the 3TG from smelters whose due diligence practices have been validated by an independent third-party audit program? (*) This field is **mandatory.**

Yes: If the company requires its direct suppliers to source from smelters or refiners which have been validated by RMI or other independent third-party audit programs.

No: If the company allows suppliers to source from non-validated smelters or refiners.

Note: Comments should be captured in the comments field.

D. Have you implemented Due Diligence measures for conflict-free sourcing? (*) This field is **mandatory.**

This declaration is not intended to provide the details of a company's due diligence measures - just that a company has implemented due diligence measures. The aspects of acceptable due diligence measures shall be determined by the requestor and supplier.

Yes: If the company has implemented due diligence measures for conflict free sourcing.

- Communicating and incorporating into contracts, (where possible) the expectations from suppliers on conflict-free mineral supply chain.
- Identifying and assessing risks in the supply chain.
- Designing and implementing a strategy to respond to identified risks; verifying the direct supplier's compliance to its DRC conflict-free policy

No: If the company does not engage in due diligence measures for conflict free sourcing.

Note: If you respond "Yes," consider describing the due diligence measures implemented in the comment field.

Due Diligence: Refers to continual, voluntary and situation-based processes used by a company to respect human rights and ensure it does not contribute to conflict.

3TG

Tantalum



Tin



Tungsten



Gold



E. Does your company conduct Conflict Minerals Survey(s) of your relevant supplier(s) (*) This field is **mandatory**.

This is a question to disclose whether a company requests their supplier to fill out a conflict minerals declaration (CMRT).

Yes: If the company requests its suppliers to fill out a conflict minerals declaration

- In conformance with IPC-1755 (e.g., CMRT)
OR
- Company requests suppliers to complete a survey with company's own set of questions.

No: If the company does not collect conflict minerals surveys from suppliers.

Note: If the response is "Yes" please specify the format used (e.g., IPC-1755 CMRT or Company Format).

F. Do you review due diligence information received from your suppliers against your company's expectations? (*) This field is **mandatory**.

This question refers to the level of evaluation your company performs on its incoming supplier data against your company's established criteria.

Yes: If the company has a process to review the due diligence information (CMRT) received from your suppliers.

- Measures are in place to review the accuracy and completeness of the CMRT
- Evaluate each smelters' risk for conflict sourcing
- Suppliers have a conflict-free sourcing policy, and a review is done on whether it is achieved or not.

No: You do not review due diligence information (CMRT) received from your suppliers.

3TG

Tantalum



Tin



Tungsten



Gold



Smelter Entry by CID:

Column A: Use this column to enter one or more unique company identification numbers (CID assigned by RMI).

A	B	C	D	E	F	G	H	I	J	K
Smelter Identification Number Input Column	Metal (*)	Smelter Look-up (*)	Smelter Name (1)	Smelter Country (*)	Smelter Identification	Source of Smelter Identification Number	Smelter Street	Smelter City	Smelter Facility Location: State / Province	Smelter Contact I
CID002708	Gold	Abington Reldan Metals, LLC		UNITED STATES OF AMERICA	CID002708	RMI		Fairless Hills	Pennsylvania	
	Tungsten	Albasteel Industria e Comercio de Ligas Para Fundicao Ltd.		BRAZIL	CID003427	RMI		Sao Paulo	São Paulo	
	Tin	Smelter not listed	ABCDEF	ALGERIA		Enter smelter details				
	Tungsten	Smelter not yet identified		Unknown						

Scenarios

1 CID Number is known

- Provide the CID number in Column A - Columns B, C, E, F, I and J will be auto-populated. (Copy – paste of the CID Number is recommended)

2 CID Number is not known

- Select the Metal type in Column A and select the Smelter name in Field C –Columns E, F, G, I and J will be auto-populated

Scenarios

3 Smelter is not listed (Non-SSN Smelter)

- Select the Metal type in Column A and enter the Smelter name and Country in Field D and E. (Provide further information in Fields H-P)

4 Smelter is not identified

- Select the Metal type in Column A and select “Smelter Not Yet Identified” in Column C. The Field E will be automatically filled in with “Unknown”.

SSN – Standard Smelter Names

3TG

Tantalum



Tin



Tungsten



Gold



Smelters may be converted to non-SSNs.

- If it ceases to operate as a smelter
- Merger with another smelter
- Not functioning as an active smelter

		smelters that suspended or ceased operations			
Tin	Minmetals Ganzhou Tin Co. Ltd.	Minmetals Ganzhou Tin Co. Ltd.	CHINA	CID001179	CFSI
Tungsten	Jiangxi Richsea New Materials Co., Ltd.	Jiangxi Richsea New Materials Co., Ltd.	CHINA	CID002493	CFSI

Smelter Look-up Sheet contains SSNs at the time of the CMRT issuance.

Therefore, the RMI website should be consulted to verify whether a smelter has since been recognized as an SSN and assigned a CID number.

- If this is the case, Field C should be marked as "Smelter not listed."

SSN – Standard Smelter Names

Conflict Minerals

(Individual Smelter Entry Instructions)

3TG

Tantalum



Tin



Tungsten



Gold



Metal (*) – Use the pull-down menu to select the metal for which you are entering smelter information. This field is **mandatory**.

Smelter Look-Up List (*) – Select from dropdown. This is the list of known smelters as of template release date. If you select any known smelter from the list, Smelter Name (1), Smelter Country (*), Smelter Identification, Source of Smelter Identification, Smelter City and Smelter Facility Location: State / Province will auto-populate. If smelter is not listed, select 'Smelter Not Listed'. This will allow you to enter the name of the smelter in column D. Wrong combination will trigger RED color. This field is **mandatory**.

Smelter Name (1) – This field is mandatory when "smelter not listed" is selected in column C. Fill in the smelter name as you know it. This field will grey-out when a smelter name is selected in column C. Enter all available smelter information in columns H through P. This field is **optional**.

Whenever possible completion of column O "Location (Country) or Mine(s) or if recycled or scrap sourced, entered "recycled" or "scrap"" is recommended.

Smelter Country (*) – This field will auto-populate when a smelter name is selected in column C. If you selected "Smelter Not Listed" in column C, use the pull-down menu to select the country location of the smelter. This field is **mandatory**.

Smelter Identification – This is a unique identifier assigned to a smelter or refiner according to an established smelter and refinery identification system. It is expected that multiple names or aliases could be used to describe a single smelter or refiner and therefore multiple names or aliases could be associated to a single 'Smelter ID.' This field is **optional**.

Source of Smelter Identification Number – This is the source of the Smelter Identification Number entered in column F. If a smelter name was selected in column C using the dropdown box, this field will auto-populate. (If the Smelter is not listed, then provide the source of the Smelter Number – e.g., RMI, EICC) This field is **optional**.

Smelter Street - Provide the street name on which the smelter is located. This field is **optional**.

Conflict Minerals

(Individual Smelter Entry Instructions)

3TG

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Tin



Tungsten



Gold



Smelter City – Provide the city name of where the smelter is located. This field is *optional*.

Smelter Location: State/Province, if applicable – Provide the state or province where the smelter is located. This field is *optional*.

Smelter Contact Name – The Conflict Minerals Reporting Template (CMRT) is circulated among companies in the requesting company's supply chain to ensure compliance with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas and the U.S. Securities and Exchange Commission Final Rule on conflict minerals. If the template is circulated in a country where laws protecting personal information exist, sharing personal contact information in the CMRT may violate related regulations. Therefore, it is recommended that the requesting company take precautions such as obtaining the contact person's permission to share the information with other companies in the supply chain when completing "Smelter Contact Name" and the "Smelter Contact Email" columns. If you have permission to share this information, please fill in the name of the Smelter Facility Contact person who you worked with." This field is *optional*.

Smelter Contact Email – Fill in the email address of the Smelter Facility contact person who was identified as the Smelter Contact Name. Please review the instructions for Smelter Contact Name before completing this field. This field is *optional*.

Proposed next steps – This is a comments area, which allows the company to specify the next steps to manage smelters. These are the actions you may take with the smelter if the facility is not listed on the RMI Conflict-Free Smelter Program (CFSP) Compliant Smelter List. Example: request smelter facility to be assessed through the CFSP, remove from preferred supplier list, etc. This field is *optional*.

Name of Mine(s) – This field allows a company to define the actual mines being used by the smelter. Please enter the actual mine names if known. If 100% of the smelter's feedstock originates from recycled or scrap sources, enter "Recycled" or "Scrap" in place of the name of the mine and answer "Yes" in column P. This field is *optional*.

Location (Country) of Mine(s) – This is a free form text field that allows a company to define the location of the mines being used by the smelter. Please enter the country of the mine(s). If the country of origin is not known, enter "Unknown". If 100% of the smelter's feedstock originates from recycled or scrap sources, enter "Recycled" or "Scrap" in place of the country of origin. "RCOI confirmed as per RMI" may be an acceptable answer to this question. This field is *optional*.

Conflict Minerals

(Individual Smelter Entry Instructions)

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Does 100% of the smelter's feedstock originate from recycled or scrap sources? – Answer "Yes" if the smelter solely obtains inputs for its smelting process(es) from recycled or scrap sources. Answer "No" if the smelter obtains inputs for its smelting process from ore, concentrates, or intermediates. Answer "Unknown" if the source of inputs for the smelter's smelting process is unknown. This field is optional.

Comments – Enter any comments concerning the smelter. This is a free-form text field. Example: smelter is being acquired by Company YYY. This field is optional.

Conflict Minerals

(Checker Tab)

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Checker Tab can be used to verify if all the required fields have been completed (completed fields will be highlighted in **green**). If not, look for the **red** field(s) and review the "Notes" in Column C for required actions. You may use the URL in Column D to directly access the field for completion.

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Comments – Enter any comments concerning the smelter. This is a free-form text field. Example: smelter is being acquired by Company YYY. This field is **optional**.

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To ensure all required fields have been populated before submitting to your customers review form for any line items highlighted in red

Required Fields	Answer provided	Notes	Hyperlink to source
Tantalum (*)	Yes	Complete	
Tin (*)		Declare if Tin is intentionally added to your products on Declaration tab cell D27	Click here to answer question 1 for Tin
Gold (*)		Declare if Gold is intentionally added to your products on Declaration tab cell D28	Click here to answer question 1 for Gold
Tungsten (*)		Declare if Tungsten is intentionally added to your products on Declaration tab cell D29	Click here to answer question 1 for Tungsten

Required fields remaining to be completed
47

Complete

Incomplete

Remaining fields to be completed



Conflict Minerals

(Product List Tab)

3TG

If you select product level scope on the declaration it will prompt you to reference part numbers here. The Product List tab allows manufacturers to list of the products under the scope of this Declaration. This section of the CMRT is mandatory if manufacturers selected Product (or List of Products) in the Company Information section.

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Completion required only if reporting level "Product (or List of Products)" selected on the 'Declaration' worksheet.		
Click here to return to Declaration tab		
Manufacturer's Product Number (*)	Manufacturer's Product Name	Comments

Conflict Minerals

(CMRT Template - Download)

3TG

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Download the latest CMRT (version 6.5) from the RMI website ([Responsible Minerals Initiative](https://www.responsiblemineralsinitiative.org))

The screenshot shows the RMI website's navigation menu. The 'REPORTING TEMPLATES' link is highlighted with a red box. A dropdown menu is open, listing the following options: CMRT, MRPRO, Extended Minerals Reporting Template, Cobalt Reporting Template, Mica Reporting Template, Country of Origin Data, Public Reporting, Conflict Minerals Compliance Tools, and a 'Learn More' button. The background of the website features a banner with the RMI logo and text: 'RMI and RCI Public Refiner Supply Chain Due Diligence Standard'.

Conflict Minerals

(Smelter Conformance List- Download)

3TG

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- 1 Download the 3TG Smelter Reference List. The presence of a smelter here is **NOT** a guarantee that it is currently Active or Conformant within the Responsible Minerals Assurance Process.
- 2 Download the Active list of smelters
- 3 Download the Conformant list of smelters

ASSURANCE PROCESS | REPORTING TEMPLATES | TRAINING & RESOURCES | NEWS & EVENTS | ABOUT

SMELTER & REFINERS

SMELTER NAME	SMELTER ID	CITY	STATE PROVINCE
	CID002763	Pero	Lombardia
y Pty Ltd.	CID002920	3	
Idan Metals, LLC	CID002708	Fairless Hills	Pennsylvania
hemical Company	CID000015	2 Warwick	Rhode Island
Refinery	CID003185	1 Eitebbe	Wakiso
	CID000035	Horzheim	Baden-Württemberg

Download Data

Export - All Active Smelters

Export - All Conformant Smelters

Export - Smelter Reference Lists

3TG

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The Smelter Conformance Policy/Diligence Report/Assessment Report of individual smelters for 3TG (Example Tin) can be downloaded.

ASSURANCE PROCESS	REPORTING TEMPLATES
<ul style="list-style-type: none"> RMAP Assessment Introduction RMAP Documents & Tools Auditor Information Smelter & Refiners Extended Corrective Action Plan Downstream Assessment Program Grievance Mechanism 	<ul style="list-style-type: none"> Gold Tantalum Tin Tungsten Cobalt Mica

Tin Smelter List

The operational impacts of Covid-19 are leading to postponements of some RMAP assessments across metals. We are remaining in regular communication with participating companies and actively working with all facilities to accommodate requests for rescheduling. Assessments will be scheduled at the earliest possible date with consideration given to maintaining public safety.

The conformant list includes the names, locations and links to supply chain policies of all tin smelters that are conformant with the relevant [RMAP Standards](#).

The active list includes those tin smelters that are currently engaged in the RMAP but for which a conformance determination has yet to be made.

Access and use of any information contained in this list is subject to the Terms and Conditions to which the user has agreed.

Note: It is RMI's understanding that due to the current situation in Indonesia, many of the tin smelters there are not currently operating. Nonetheless, these smelters will remain on the conformant list until more information is available.

Active Tin Smelters

Tin smelters that are participating in the RMAP by agreeing to complete a RMAP conformance audit conducted by an independent third party auditor.

[View Active Tin Smelters](#)

Conformant Tin Smelters

Companies that have been determined to be conformant with the RMAP Supply Chain Transparency Smelter Audit Protocol for Tin by completing a RMAP conformance audit conducted by an independent third party audit.

[View Conformant Tin Smelters](#)

Conformant Tin Smelters

The operational impacts of Covid-19 are leading to postponements of some RMAP assessments across metals. We are remaining in regular communication with participating companies and actively working with all facilities to accommodate requests for rescheduling. Assessments will be scheduled at the earliest possible date with consideration given to maintaining public safety.

Note: ALL companies on this list are conformant to RMAP's requirements. This includes, companies with "Yes" marked the "Re-assessment in progress", which is an indication their re-assessment report is published and maintained on RMI's website.

SMELTER ID	STANDARD SMELTER NAME	STATE/ PROVINCE/ REGION	COUNTRY LOCATION	SUPPLY CHAIN POLICY	DUE DILIGENCE REPORT	ASSESSMENT SUMMARY REPORT
1	CID000292 Alpha	Altoona, Pennsylvania	UNITED STATES OF AMERICA	Link	Report	Link
2	CID000228 Chenzhou Yunxiang Mining and Metallurgy Co., Ltd.	Chenzhou, Hunan Sheng	CHINA	Link	Report	Link

3TG

Download the [Revision History](#) - smelters/refiners previously removed from the Standard Smelter List (SSN) may be added back once they come back into operation or meet the RMI standards' definition of a smelter again.

Tantalum

Basis for Revision would provide details on the reason for the revision – Smelter Added/Removed/ Name Correction.



Tin



Tungsten



Gold



Revisions History

Please note that smelters/refiners previously removed from the Standard Smelter List may be added back once they come back into operation or meet the RMI standards' definition of smelter again.

[Download Data](#)

METAL	SMELTER ID	STANDARD SMELTER NAME	COUNTRY	BASIS FOR REVISION	DETAILS	REVISION DATE ▼	SMELTER ADDED DATE
Gold	CID000035	Agosi AG	GERMANY	Name correction	Name changed to reflect legal entity	1/21/2022	8/29/2012
Tin	CID000309	PT Aries Kencana Sejahtera	INDONESIA	Added	Returned to operations as a smelter / refiner	1/18/2022	11/7/2014
Tin	CID002478	PT Tirus Putra Mandiri	INDONESIA	Added	Returned to operations as a smelter / refiner	11/23/2021	9/10/2015
Tin	CID002593	PT Rajehan Ariq	INDONESIA	Removed	No longer an operating smelter / refiner	11/23/2021	11/16/2015
Tin	CID002870	PT Lautan Harmonis Sejahtera	INDONESIA	Removed	No longer an operating smelter / refiner	11/9/2021	10/6/2016
Tin	CID001457	PT Panca Mega Persada	INDONESIA	Added	Returned to operations as a smelter / refiner	11/9/2021	11/7/2014
Tin	CID001421	PT Belitung Industri Sejahtera	INDONESIA	Added	Returned to operations as a smelter / refiner	11/9/2021	8/29/2012

3TG

Companies on the Extended Corrective Action Plan (ECAP) list are non-conformant to RMAP* standards, as determined by their recent RMAP independent third-party assessment but are working on regaining their conformance status through corrective measures.

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RMI MINERALS DUE DILIGENCE ASSURANCE PROCESS REPORTING TEMPLATES TRAINING & RESOURCES NEWS & EVENTS ABOUT

Extended Corrective Action

Companies on the Extended Corrective Action Plan (ECAP) list are non-conformant to RMAP* standards, as determined by their recent RMAP independent third party assessment.

While companies on this list are currently non-conformant, they have committed to addressing the issues going forward and have agreed to the following conditions:

- Senior management (General Manager, Managing Director, or Owner) support the implementation of the ECAP, implementing the Corrective Action Plan (CAP), and following the below requirements in a written communication to RMI
- Publication of the following information on the company's website:
 - Full Corrective Action Plan (CAP), including a description of changes being implemented
 - Measures to validate the origin of materials and due diligence from non-conformant smelters
- Consultation by an external resource (e.g. consulting or advisory firm) to ensure the company's due diligence system prior to the next RMAP assessment
- Submitting a timeline for the next RMAP assessment
- Undergoing a full RMAP assessment once the CAP has been implemented
- Regular communication with RMI
- All follow-up public communication or status reports shall be done by the company and not by RMI staff

Smelters Undertaking Extended Corrective Action

#	Smelter ID	Smelter Name	Metal	Smelter Location	Date of Entry	Additional Information
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Please contact smelter directly for additional details. A smelter or refiner on this list is actively progressing towards RMAP conformance and has committed to complete a RMAP validation audit.

RMAP* - Responsible Minerals Assurance Process

Conflict Minerals

(General Terms)

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Term	Description
Active	Engaged in the program but not yet conformant
Communication Suspended- Not Interested	Facility has strongly communicated a lack of interest in participation
Communication Suspended - Temporarily Ceased Operations	Facility has temporarily ceased operations
Conformant	Independently assessed and found conformant with the relevant RMAP standard
Due Diligence Vetting Process	Facility does not meet RMI's requirements for participation according to the due diligence vetting process
In Communication	Not yet active but in communication with RMAP and/or member company
Non-Conformant	Independently assessed and found non-conformant with the relevant RMAP standard
Outreach Required	Outreach needed by RMI member companies to contact entity and encourage their participation in RMAP
RMI Due Diligence Review – Unable to Proceed	For facilities that have not met the threshold for Due Diligence Vetting Process after a period of 6 months. Status may change if additional information is submitted
Not Applicable	Not eligible for the RMAP

Terminology Definitions can be obtained at [Link](#)



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