Formerly the
Conflict-Free Sourcing Initiative

Conflict Minerals Reporting Template (CMRT) Completion Guide

Corresponding to CMRT Revision 5.0

Contents

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Conflict-Free Sourcing Initiative

Introduction

The CMRT was created by the Responsible Minerals Initiative (RMI) and is designed to follow the IPC-1755 Conflict Minerals Data Exchange Standard. This guide was created to help users complete the CMRT. This version corresponds to CMRT Revision 5.0, released May 12, 2017, and may be used for future versions of the CMRT 5.X family.

IPC-1755 Conflict Minerals Data Exchange Standard establishes the requirements for exchanging conflict minerals data between suppliers and their customers. To meet the needs of a broad range of users, this standard provides flexibility in the scope of the products covered within a single declaration. This standard applies to business-to-business transactions. It is not intended to be used by the general public when making intended purchasing decisions. This standard is not a compliance guide. 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. It establishes standard electronic data exchange formats that will facilitate and improve data transfer along the entire global supply chain.

The RMI is a membership organization consisting of more than 200 companies from seven industries. This group contributes to a range of tools and resources, including the Conflict-Free Smelter Program, the Conflict Minerals Reporting Template, Reasonable Country of Origin Inquiry Data and guidance documents on conflict minerals sourcing. The RMI also runs regular workshops on conflict minerals issues and contributes to policy development and debates with leading civil society organizations and governments. RMI receives all of its funding from member companies and does not receive government funding.

The purpose of the CMRT is best met when relevant actors in the supply chain, including smelters, provide and disseminate accurate information.

This guide was a collaborative effort by members of RMI, JEITA and AIAG.

Template Structure

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

The CMRT contains eight (8) visible sheets, some of which provide supplemental information for completing the template, others require user input. Sheets requiring user input are highlighted in green (Declaration, Smelter List, Product List).

Revision sheet: additional information about past revisions of the CMRT including description of functional change and updates to the smelter list

Instructions sheet: additional information about completing the CMRT

Definitions sheet: additional information about completing the CMRT

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)**

Checker sheet: verification list to confirm your completion of all requirements within the CMRT

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

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

Template Language

Before beginning completion of the CMRT, it may be useful to convert the template into your preferred language using the drop down.

If your customer requires the form to be submitted in English, you may change the language preference back to English once completed.

Select Language Preference Here:
请选择你的语言:
사용할 언어를 선택하시오 :
表示言語をここから選択してください:
Sélectionner la langue préférée ici:
Selecione Preferência de idioma Aqui:
Wählen sie hier die Sprache:
Seleccione el lenguaje de preferencia aqui:
Selezionare la lingua di preferenza qui:

English

document is to collect sourcing informati

English
中文 Chinese
日本語 Japanese
한국어 Korean
Français
Português
Deutsch
Español

risk (*). The information collected in this

Mandatory fields are noted with an asterisk (*). The information collected in this template should be updated annually. Any changes within the annual cycle should be provided to your customers.

Company Information

Questions (rows 8 – 22)

Company Name (*): Insert your company's legal name. Please do not use abbreviations.

Declaration Scope or Class (*): Select your company's declaration scope. The options for scope are:

A. Company

For "Company ", the declaration encompasses the entirety of a company's products or product substances produced by the parent 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)", a link to the worksheet tab for Product List will be displayed. **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.** It is optional to list the Manufacturer's Product Name in Column C of the Product List worksheet.

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.

Company Name (*):
Declaration Scope or Class (*):
Description of Scope:
Company Unique ID:
Company Unique ID Authority:
Address:
Contact Name (*):
Email – Contact (*):
Phone – Contact (*):
Authorizer (*):
Title - Authorizer:
Email - Authorizer (*):
Phone - Authorizer (*):
Effective Date (*):

Company Unique ID: Insert your 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.

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.

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

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-MMM-YYYY. This date should represent the current status of your supply chain. This field is mandatory.

Note: If your company forwards your suppliers' Declaration Sheets to your customer company, it is recommended that your company take precautions such as obtaining your suppliers' permission because sharing personal contact information in the Declaration sheet may violate laws protecting personal information in a country where such laws exist.

Due Diligence Questions (rows 24 – 65)

These seven questions define the usage, origination and sourcing identification for each of the metals. The questions are designed to collect information about the use of 3TG in the company's product(s) to allow for the determination of regulatory applicability. Responses to these questions shall represent the 'Declaration Scope' selected in the company information section. The responses to the questions in this section can be used to determine applicability and completeness of 3TG reporting.

For each of the seven required questions, provide an answer for each metal using the pull down menu selections. The questions in this section must be completed for all 3TG. If the response for a given metal to question 1 and question 2 is positive, then the subsequent questions shall be completed for that metal and the following due diligence questions (A to I) shall be completed about the company's overall due diligence program.

Please note, the wording of questions 1, 2, and 5 have been changed as per the IPC-1755 Amendment 2.

Note: If questions 1 and / or question 2 of the Due Diligence questions are answered 'No' for any metal, the remaining Due Diligence questions will be disabled as they are no longer applicable.

Answer the following questions 1 – 7 based on the declaration scope indicated above

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

	Answer	Comments
Tantalum (*)	Yes	
Tin (*)	Yes	
Gold	No	
Tungsten (*)		

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

	Answer	Comments
Tantalum (*)	Yes	
Tin (*)	No	
Gold		
Tungsten (*)		

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 (*)		
Tin		
Gold		
Tungsten (*)		

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

	Answer	Comments
Tantalum (*)		
Tin		
Gold		
Tungsten (*)		

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

	Answer	Comments
Tantalum (*)		
Tin		
Gold		
Tungsten (*)		

6

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

This is the first of two questions for which the response is used to determine whether the 3TG is within the scope of conflict minerals reporting requirements. This question relies upon the guidance provided by the SEC in the final rules regarding the determination if a 3TG is "necessary to the functionality or production" of a product. The SEC guidance is based upon the presumption that a company in the supply chain for a product would not intentionally add a 3TG to that product or any of a product's sub-components if that 3TG was not necessary to the product's generally expected function, use, or purpose. Similarly, the guidance presumes that a 3TG would not be necessary to the production of a product unless it was intentionally included in the production process of that product. The response to this question serves to exclude any trace level contaminants such as tin in steel.

This question asks if any of conflict minerals are used as raw material, component or additive in a product that you manufacture or contract to manufacture (including raw material and component). Impurities in raw material, component or additive, and abrasive and cutting tool for equipment are outside the scope of the survey.

25	1) Is any 3TG intentionally added or used in the product(s) or in the production process? (*)	Answer	Comments
26	Tantalum (*)		
27	Tin (*)	Yes / No	
28	Gold (*)		
29	Tungsten (*)		

Answer Options:

Yes: Select if the use of 3TG is intentional in terms of product specification and for functionality purposes.

Examples:

- All tin-based solders including tin plating finishes
- Capacitor using tantalum
- Product assembled with component using alloy of gold or tungsten
- Tin used as additive in paint or synthetic resin
- Stannane (i.e. tin) used as coating agent for glass
- Tungsten used as additive in manufacture of long steel

No: Select if the use of 3TG is unintentional

Examples:

- Naturally occurring tin in bauxite used to produce aluminum
- Trace amounts of tin that may be found in recycled steel
- No 3TG s present in the product

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.

Caution: Understand that if any of these metals are intentionally added anywhere within your supply chain, they are considered intentionally added to your product.

Note: Some companies may require substantiation for a "No" answer, which should be entered into the Comments Field.

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

This question should be answered for each 3TG for which the response to question 1 is "Yes." This is the second of two questions for which the response is used to determine whether the 3TG is within the scope of conflict minerals reporting requirements as described in the SEC's final rules regarding the determination if a 3TG is "necessary to the functionality or production" of a product. This question is dependent upon the response to question 1, and will be greyed-out if the answer to question 1 is "no" for that metal. This question is intended to identify 3TGs which are intentionally added or included in the manufacturing process of a product where some amount of the 3TG remains in the finished product. This includes 3TGs which may not have been intended to become part of the final product and may not be "necessary to the functionality" of the product but are only present as residuals of the manufacturing process. In many cases, the manufacturer may have attempted to remove or facilitate consumption of the 3TG during the manufacturing process, however, some amount of the 3TG remains. Should the 3TG, which is used added or included the manufacturing process, be completely removed such that none of the 3TG remains upon the completion of that process, the response to this question would be "no."

31	2) Does any 3TG remain in the product(s)? (*)	Answer	Comments
32	Tantalum (*)		
33	Tin (*)		
34	Gold (*)		
35	Tungsten (*)	Yes / No	

Answer Options:

Yes: Select if the 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 prompt you to list your applicable smelters on the Smelter List tab.

Examples:

- Stannin (i.e. tin) used as catalyst, which is not completely removed from the product
- Chemical compound of tantalum used as welding rod, where some tantalum still remains in the product
- Residual tin left after process of "float glass"
- Catalyst residue that is present after processing

No: Select if the 3TG is necessary for the functionality or production but not contained in finished product.

Examples:

- Tungsten carbide blade or drill bit is used in the manufacture, but no tungsten remains in the finished product

- A catalyst that is no longer present

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

This is a declaration that any portion of the 3TGs contained in a product or multiple products originates from the DRC or an adjoining country (covered countries).

	3) Do any of the smelters in your supply chain source the 3TG from the covered countries? (*)	Answer	Comments
37			
38	Tantalum (*)		
39	Tin	Yes / No / Unknown	
40	Gold (*)		
41	Tungsten (*)		

Answer Options:

Yes: Select if any of the 3TG originates from DRC and / or adjoining countries*

Examples:

- A smelter listed in the RMI RCOI report (only available to RMI members) indicates the country of origin is "L3" and / or "DRC"
- A smelter publically discloses they source from the region

No: Select if none of the 3TG originates from DRC and adjoining countries

Example:

- All smelters are listed in the RMI RCOI report (only available to RMI members) and the country of origin is "L1" for all of them
- Through due diligence, the company has determined that all smelters source 100% recycled scrap

Unknown: Select if origin of any of the 3TG is unknown

Example: If any smelters' sourcing is unconfirmed or undisclosed, it is unknown

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.**

Example: A smelter / refiner located in Canada may be sourcing minerals from the DRC or surrounding countries

Note: If you answer "No" to any 3TG in Question 3, be aware that further information may be required in order for this response to be considered complete by your customers. Acceptable evidence may include:

- Submissions from 100% of your relevant suppliers that provide products which include 3TG, including their complete smelter lists (per Question 5 response); AND

- Questions 6 and 7 can be answered "Yes;" AND

- For all smelters of 3TG complete – to the best of your knowledge – the identified "Location (Country) of Mine(s)" on your smelter list (Column O)

*Good Practice: Many companies find it **acceptable** to answer "Yes" to this question. If you answer "Yes" to any 3TG in Question 3, you are encouraged to identify the smelter that purchased the minerals by adding the "Location (Country) of Mine(s)" on your smelter list (Democratic Republic of

Congo, Congo Republic, Central Africa Republic, South Sudan, Uganda, Rwanda, Burundi, Tanzania, Zambia, or Angola).

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

This is a declaration that identifies whether 3TGs contained in the product(s) necessary to the functionality of that product(s) originate from recycled or scrap sources.

	4) Does 100 percent of the 3TG (necessary to the functionality or production of your		
43	products) originate from recycled or scrap sources? (*)	Answer	Comments
44	Tantalum (*)		
45	Tin (*)		
46	Gold (*)		
47	Tungsten	Yes / No / Unknown	

Answer Options:

Yes: Select if 100% of the 3TG comes from recycled or scrap sources

> **Example:** You purchase from a gold refiner that does exclusively 100% scrap processing. In order to answer "Yes" for gold in Question 4, ALL of the gold refiners on your smelter list must be sourcing from recycled or scrap sources exclusively

No: Select if some of the 3TG does not come from recycled or scrap sources

> **Example:** You purchase materials from a refiner which has mixed sources of materials, including some non-secondary materials (also known as 'mined materials')

Unknown: Select if the user does not know whether or not 100% of the 3TG comes from recycled or scrap sources

> **Example:** You purchase from a smelter or refiner but do not have information about sourcing practices

<mark>Caution:</mark> If you know that any of your products contain 3TG that is not from scrap or recycled sources, respond "No."

Note: Some companies may require substantiation for a "Yes" answer, which should be entered into the Comments Field. Information validating 100% recycled or scrap sourcing has been collected by the Responsible Minerals Initiative for validated smelters and refiners and we encourage membership to support the ongoing validation of such sourcing.

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

This is a question to determine whether a company has received conflict minerals disclosures from all direct suppliers reasonably believed to be providing 3TGs contained in the products covered by the scope of this declaration.

Relevant suppliers: The objective of conducting a supply chain survey is to generate an accurate representation of the sourcing conditions in the supply chain in order to understand and act upon identified risks. Generally, companies should define their universe of relevant suppliers in a manner which addresses the accepted tolerance for compliance of their stakeholders. Companies commonly define "relevant suppliers" as: 1) all suppliers that use 3TG in the parts that they provide to your company; or 2) suppliers of a particular commodity known to contain 3TG.

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

		Answer	Comments
49			
50	Tantalum (*)		
51	Tin (*)		
52	Gold (*)		
53	Tungsten (*)		
54			

Dropdown options shown: 100% / Greater than 90% / Greater than 75% / Greater than 50% / 50% or less / None

Answer Options:

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

*For all answers other than "100%": please consider explaining the reason for this answer, such as supplier refusal to report, unsure of all suppliers, or other

Caution: If you respond "100%" for any metal in Question 5, you are expected to provide the names of all smelters that process that metal(s) used in your supply chain in order for this answer to be complete.

Note: Some companies may require substantiation for how you have defined "relevant" suppliers, which should be entered into the Comments Field. If you have not achieved a 100% response rate from your relevant suppliers, please submit your CMRT indicating the appropriate percentage and continue to survey your suppliers. An increase in your company's percentage of suppliers surveyed may be one indication of year-over-year improvement.

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

This question verifies if you have reason to believe that you have identified all of the currently-known smelters providing 3TGs in the products covered by this declaration.

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

		Answer	Comments
55			
56	Tantalum (*)		
57	Tin (*)		
58	Gold	Yes / No	
59	Tungsten (*)		

Answer Options:

Yes: Select if you have identified all of the smelters supplying 3TG in your supply chain

Examples:

- You have 100% response rate to smelter survey, per question 5

- You have received almost all of the responses, and based on commodity representation of your supply chain, you are confident that all known smelters have been identified

No: Select if you have NOT identified all of the smelters supplying 3TG in your supply chain

> **Example:** You are waiting for additional supplier responses and you believe they may contain new smelters

<mark>Caution:</mark> Some companies may require substantiation if you answer less than 100% to Question 5, and then "Yes" to this question, which should be entered into the Comments Field.

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

This question verifies that all of the smelters identified to be providing any of the 3TGs contained in the products covered by the scope of this declaration have been reported in this declaration.

	7) Has all applicable smelter information received by your company been reported in this declaration? (*)	Answer	Comments
61			
62	Tantalum (*)		
63	Tin (*)		
64	Gold (*)		
65	Tungsten	Yes / No	

Answer Options:

> **Yes:** Select if all applicable smelter information you receive is reported

> > **Example:** You have reviewed all information received from your suppliers, consolidated aliases, and included entities verified as "smelters" by some authority (such as RMI) or as a result of due diligence you conduct and are including that information in this report

> **No:** Select if all applicable smelter information you received is NOT reported

> > **Example:** There is a legitimate business reason why you cannot provide this information in the report

<mark>Caution:</mark> Some companies may require substantiation for a "No" answer, which should be entered into the Comments Field.

> The OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-affected and High-risk Areas (OECD Guidance) defines "Due Diligence" as "an on-going, proactive and reactive process through which companies can ensure that they respect human rights and do not contribute to conflict." Due diligence should be an integral part of your company's overall conflict free sourcing strategy. Questions A. thru I. are designed to assess your company's conflict-free minerals sourcing due diligence activities. Responses to these questions shall represent the full scope of your company's activities and shall not be limited to the 'Declaration Scope' selected in the company information section.

A. Have you established a conflict minerals sourcing policy? (*)

Some customers may require that your company have a conflict minerals policy in place, regardless of your company's SEC filing status.

A. Have you established a conflict minerals sourcing policy? (*)

Answer Options:

Yes: Select if your company has a conflict minerals policy in place.

No: Select if your company does not yet have a conflict minerals policy in place.

Note**:** Comments should be captured 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.) (*)

Some customers may require that your company have a conflict minerals policy available for their review, regardless of your company's SEC filing status.

Answer Options:

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.) (*)

Yes: Select if your company's conflict minerals sourcing policy is publicly available on your website.

No: Select if your company has a policy that is not publicly available on your website.

Note: Remember to provide a **direct** link to the policy in the comments section for "Yes" answers

C. Do you require your direct suppliers to be DRC conflict-free? (*)

In the SEC Rule, products are considered DRC conflict free if they do not contain minerals that directly or indirectly finance or benefit armed groups in the Covered Countries. Some customers may require that your company has a conflict-free sourcing policy.

DRC Conflict Free: Products that do not contain minerals that directly or indirectly finance or benefit armed groups in the Democratic Republic of the Congo or an adjoining country. Source: 2010 United States legislation, Dodd-Frank Wall Street Reform and Consumer Protection Act, Section 1502 (http://www.sec.gov/about/laws/wallstreetreform-cpa.pdf)

C. Do you require your direct suppliers to be DRC conflict-free? (*)

Answer Options:

Yes: Select if your company requires your direct suppliers to be DRC conflict-free.

No: Select if your company does not have such a requirement for direct suppliers.

Note: Comments should be captured in the comments field.

Caution: DRC Conflict-free SORs can still source from the Democratic Republic of the Congo or an adjoining country.

D. 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 is a declaration to determine whether a company requires their direct suppliers to source 3TG from validated, conflict free smelters.

This question applies to both smelters and refiners. An example of a third-party audit program is the RMI's Conflict Free Sourcing Program.

D. 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? (*)

Answer Options:

Yes: Select if your company requires your direct suppliers to source from SORs who have been validated by RMI or other independent third party audit programs.

Examples: Other independent third party audit programs may include:

- The Responsible Jewelry Council (RJC)
- London Bullion Market Association (LBMA)

No: Select if your company allows suppliers to source from non-validated SORs.

Note: Comments should be captured in the comments field.

Caution: Some of your customers may require that you source from SORs who have been validated by an independent third party audit program.

E. Have you implemented due diligence measures for conflict-free sourcing? (*)

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.

> E. Have you implemented due diligence measures for conflict-free sourcing? (*)

Answer Options:

Yes: Select if your company has implemented due diligence measures for conflict free sourcing.

> **Examples:** These due diligence measure examples are consistent with the guidelines included in the internationally recognized OECD Due Diligence Guidance.
>
> - Communicating and incorporating into contracts (where possible) your expectations to 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 your direct supplier's compliance to its DRC conflict-free policy
> - For more examples, please see the RMI white paper, "Five Practical Steps to Support SEC Conflict Minerals Disclosure"

No: Select if your 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.

> **Example:** your company follows the OECD Due Diligence Guidance.

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.

F. Does your company conduct Conflict Minerals survey(s) of your relevant supplier(s) (*)

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

> F. Does your company conduct Conflict Minerals survey(s) of your relevant supplier(s)? (*)

Answer Options:

Yes, in conformance with IPC-1755 (e.g. CMRT): Select if your company requests your suppliers to fill out a conflict minerals declaration

> **Example:** You request your suppliers use the CMRT as released by the RMI (see [here](#) for the latest version)

> **Yes, using another format (describe):** Select if your company conducts conflict minerals surveys using an independent inquiry

> > **Example:** Company requests suppliers to complete a survey with company's own set of questions

> **No:** Select if your company does not collect conflict minerals surveys from suppliers.

Note: If you choose "Yes, using other format (describe)," or "No" further explanation may be required in the comments field, i.e., to provide the format used for collecting information.

G. Do you review due diligence information received from your suppliers against your company's expectations? (*)

This question refers to the level of evaluation your company performs on its incoming supplier data against your company's established criteria. See question E for examples of due diligence measures.

G. Do you review due diligence information received from your suppliers against your company's expectations? (*)

Answer Options:

> **Yes:** You have a process to review due diligence information received from your suppliers

> > **Examples:**
> > - You evaluate each smelters' risk for conflict sourcing
> > - Your company expects that each supplier has a conflict-free sourcing policy and you review whether or not they do
> > - You review your suppliers' information for accuracy and completeness (e.g. review and compare suppliers' documentation)

> > **No:** You do not review due diligence information received from your suppliers

Note: In the comments section, you can provide additional information on your approach. Examples could be:

- "Documentation review only" – a review of supplier submitted records and documentation conducted by independent third parties and, or your company personnel.
- "Internal audit" – on-site audits of your suppliers conducted by your company personnel.
- "3rd party audit" – on-site audits of your suppliers conducted by independent third parties.

<mark>Caution:</mark> Simply copying information sent from suppliers and sending to customers without review does not constitute due diligence.

H. Does your review process include corrective action management? (*)

This question refers to your company's escalation or action plan to address incomplete or inconsistent data, non-responsive suppliers, or actors in your supply chain found to be not sourcing responsibly.

Answer Options:

> **Yes:** Select if you have a process to manage corrective actions
> > **Examples:**
> > - If a supplier does not have a conflict-free sourcing policy, your company may ask them to create one and initiate a conflict-free mineral program
> > - You follow up on identified risks per your company's due diligence program
>
> **No:** Select if you have no process in place to manage corrective actions

Note: Consider describing how you manage your corrective action process.

I. Is your company required to file an annual conflict minerals disclosure with the SEC? (*)

This question refers to whether or not you manufacture or contract to manufacture products that contain 3TG and are required to file Form SD and a conflict minerals report with the U.S. Securities and Exchange Commission (SEC). The SEC conflict minerals disclosure requirements apply to US exchange-traded companies that are subject to the US Securities Exchange Act. For more information please refer to www.sec.gov

I. Is your company required to file an annual conflict minerals disclosure with the SEC? (*)

Answer Options:

> **Yes:** Select if you are a US-exchange traded company subject to the US Securities Exchange Act (see www.sec.gov)
>
> **No:** Select if you are a privately held company or otherwise not subject to the US Securities Exchange Act

Note: comments can be captured in the comments field.

Caution: If you are unsure of your status, seek advice from legal counsel.

Product List Tab

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. Extra rows may be inserted if necessary.

	A	B	C	D
1		**Completion required only if reporting level "Product (or List of Products)" selected on the 'Declaration' worksheet.**		
2		cfsi		
3				
4			Click here to return to Declaration tab	
5		**Manufacturer's Product Number (*)**	**Manufacturer's Product Name**	**Comments**
6				
7				
8				
9				
10				
11				
12				
13				

Smelter List Tab

This template allows for smelter identification using the Smelter Reference List. Columns B, C, D and E must be completed in order from left to right to utilize the Smelter Reference List feature. Column D will grey out when it is not required.

Use a separate line for each metal/smelter/country combination.

Smelter Entry by CID:

Column A: Use this column to enter one or more unique company identification numbers (CID assigned by RMI). When entered, Metal (*), Smelter Country (*), Smelter Identification, Source of Smelter Identification, Smelter City and Smelter Facility Location: State / Province will auto-populate. Smelter Name (1) will grey out and it is not necessary to manually input information.

If any of the columns turn red, use the Individual Smelter Entry Instructions below.

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 Location Prov
CID002030	Gold	Western Australian Mint [T/a The Perth Mint]		AUSTRALIA	CID002030	CFSI		Newburn	Western Austra
CID004560	#N/A	#N/A				#N/A			

In accordance with IPC-1755, the Standard Smelter Name will auto-populate into hidden column R for purposes of data exchange. For information on how to access hidden information in the CMRT, see section below.

Individual Smelter Entry Instructions:

Column B: Metal (*) – U se the pull down menu to select the metal for which you are entering smelter information. This field is mandatory.

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
	Tantalum							
	Tin							
	Tungsten							
	Gold							

Column C: Smelter Reference 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. This field is mandatory. Wrong combination will trigger RED color.

Smelter Identification Number Input Column	Metal (*)	Smelter Look-up (*)	Smelter Name (1)	Smelter Country (*)	Smelter Identification	Source of Smelter Identification Number	Smelter Street
	Tungsten	ABC Smelter					

Microsoft Excel

The value you entered is not valid.

A user has restricted values that can be entered into this cell.

[Retry] [Cancel] [Help]

Was this information helpful?

Column D: 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.

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

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 Location Pro
	Gold	Smelter not listed	ABC Smelter			Enter smelter details			
	Tin	Smelter not listed				Enter smelter details			
	Tungsten	ACL Metais Eireli		BRAZIL	CID002833	CFSI		Araçariguama	São Paulo

Copy/Paste Smelter Entry Instructions

If you have the CID or a Metal+Smelter Name combination, you may copy and paste them into the corresponding fields (columns A, B+C or B+D).

Caution: When you use the copy/paste option, it is recommended to use "copy/paste values." Additionally, when using the copy/paste option the pre-set formulas in columns B, C, and D will be overwritten and you cannot revert to the other two entry methods above.

Any smelter not in the dropdown menu is not known by the RMI at the time of the CMRT's release and therefore you must provide the required fields (to the right) at a minimum and as many other fields as possible to help identify the newly identified smelter. For an ongoing list of known smelters, visit http://www.responsiblemineralsinitiative.org/conflict-free-smelter-program/exports/cmrt-export/.

If a smelter is entered on this page but not on the Smelter Look-up tab, enter the metal into column B and "Smelter not listed" in column C. Then enter the name of the smelter in column D and the country in column E.

Caution for completing smelter information: Select from dropdown menu when completing smelter information as much as possible. If you copy/paste the list and if the information and the dropdown list information are not aligned, mismatched smelter information may be reported as entities not yet identified as smelters by RMI. It is important to research smelter information taking the following points into account even when copy/paste the list:

- Start by communicating smelter reporting expectations to your supplier e.g. provide this guidance document for clear instructions, no duplicates in smelter list, complete Column "O" mine location whenever possible, use the Smelter Reference List in the CMRT for all known smelters etc.

- Review your smelter list and ensure that the mandatory fields are populated and that the correct values are listed in the correct cells.

- Review your smelter list and remove any duplicate smelter or refiner entries.

- It is recommended that you are ready to explain any smelters or refiners who are not currently recognized by RMI as a valid smelter or refiner. This can be done by conducting a web search to validate that they are in fact a smelter.

- It is recommended that you provide mine country location (Column O) if available for any smelter or refiner who is not yet audited through the RMI Conflict Free Sourcing Program.

- Use the dropdown menu for all known smelters.

- Software solutions based on the CMRT can help with the roll up process.

- NOTE:
    - Software tools may not remove all duplicates.
    - When removing duplicate smelters (whether manually or via software) be sure not to remove different smelter locations.
    - Your customer may designate a specific portal or software solution.

- If a mine is in a covered country (Democratic Republic of the Congo (DRC) Congo Republic, Central Africa Republic, South Sudan, Uganda, Rwanda, Burundi, Tanzania, Zambia, or Angola) do not panic. The SEC Rule does not prohibit sourcing 3TG from the DRC or covered countries. It is important to include this information in your smelter list.

Additional Information:

Smelter Identification Number Input Column – Use this to enter one or more unique company identification numbers assigned by RMI (CID).

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

Smelter Look-up (*) – Select from dropdown. This is the list of known smelters as of template release date. If smelter is not listed select "Smelter not listed." This will allow you to enter the name of the smelter in column D. If you do not know the name of the smelter, select "Smelter not yet identified" and fill in as much information as you can. This field is mandatory.

Smelter Name (1) – This field is mandatory when "Smelter not listed" is chosen from column C. Fill in the smelter name as you have it.. This field will grey out when a smelter name in selected in column C. In accordance with IPC-1755, the Standard Smelter Name will auto-populate into hidden column R for purposes of data exchange. Please reference the section below entitled, "How to Access Hidden Information in the CMRT."

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. In accordance with IPC-1755, the 2-digit ISO country-code will auto-populate into hidden column S for purposes of data exchange. Please reference the section below entitled, "How to Access Hidden Information in the CMRT."

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.'

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.

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

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. In accordance with IPC-1755, the ISO country-code will auto-populate into hidden column T for purposes of data exchange. Please reference the section below entitled, "How to Access Hidden Information in the CMRT."

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."

Smelter Contact Email – Fill in the email address of the Smelter Facility contact person who was identified as the Smelter Contact Name. Example: John.Smith@SmelterXXX.com. Please review the instructions for Smelter Contact Name before completing this field.

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.

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.

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.

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.

Comments – Enter any comments concerning the smelter. This is a free-form text field.

Example: smelter is being acquired by Company YYY

The Checker worksheet is used to verify if all the required information in the Template has been completed. It is updated real-time and can be reviewed at any time while using the Template.

Checker Tab

To use this sheet, verify if all 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.

A	B	C	D
	To ensure all required fields have been populated before submitting to your customers review form for any line items highlighted in red		Required fields remaining to be completed
Click here to return to Declaration tab	Click here to return to Smelter List		37
Required Fields	**Answer provided**	**Notes**	**Hyperlink to source**
Company Name (*):	Company ABC	Complete	
Declaration Scope or Class (*):	A. Company	Complete	
Description of Scope:		Complete	
Contact Name (*):	John Smith	Complete	
Email – Contact (*):	John.Smith@CompanyABC.com	Complete	
Phone – Contact (*):	555-555-5555	Complete	
Authorizer (*):	John Smith	Complete	
Email - Authorizer (*):	John.Smith@CompanyABC.com	Complete	
Phone - Authorizer (*):	555-555-5555	Complete	
Effective Date (*):	11-May-2017	Complete	
1) Is any 3TG intentionally added or used in the product(s) or in the production process? (*)			
Tantalum (*)		Declare if Tantalum is intentionally added to your products on Declaration tab cell D26	Click here to ensure question 1 for Tantalum
Tin (*)		Declare if Tin is intentionally added to your products on Declaration tab cell D27	Click here to ensure question 1 for Tin
Gold (*)		Declare if Gold is intentionally added to your products on Declaration tab cell D28	Click here to ensure question 1 for Gold
Tungsten (*)		Declare if Tungsten is intentionally added to your products on Declaration tab cell D29	Click here to ensure question 1 for Tungsten
2) Does any 3TG remain in the product(s)? (*)			
Tantalum (*)		Declare if Tantalum is necessary to the production of your products and contained within the finished products declared in Declaration tab cell D32	Click here to ensure question 2 for Tantalum
Tin (*)		Declare if Tin is necessary to the production of your products and contained within the finished products declared in Declaration tab cell D33	Click here to ensure question 2 for Tin
Gold (*)		Declare if Gold is necessary to the production of your products and contained within the finished products declared in Declaration tab cell	Click here to ensure question 2 for Gold

How to Access Hidden Information in the CMRT

In order to protect the formulas that create the functionality of the CMRT, the workbook is locked for editing, and RMI does not release the password. However, certain data exchange information that is currently in hidden columns is still accessible by a user. If you are not using service provider or CMRT-specific data exchange platform, the following steps are one way to extract the data from columns R, S, and T of the Smelter List Tab. These columns correspond to the data exchange for the Standard Smelter Name, ISO 2-digit Country Code, and ISO State or Province Code, respectively.

Step 1: Open a CMRT containing the data you wish to access

Step 2: Open and save a new workbook

Step 3: In cell A1 of the new workbook, enter "='[CFSI_CMRT.xls]Smelter List'!$R4" where [CFSI_CMRT.xls] is the name under which you have saved the CMRT

Step 4: Drag the cell to copy the formula to as many entries as are in the Smelter List

Step 5: In a new column, copy the formula in Step 3 and replace the "$R4" with "$S4" and "$T4" respectively.

The data should auto-populate.

Acronyms and Definitions

3TG (also known as Conflict Minerals): tin, tantalum, tungsten, or gold in any form and sourced from any location on earth

AIAG: Automotive Industry Action Group (www.aiag.org/conflictminerals)

CFSI: Conflict-Free Sourcing Initiative; now the Responsible Minerals Initiative (RMI) (www.responsiblemineralsinitiative.org)

Conflict-Free Smelter Program (CFSP): The Conflict-Free Smelter Program (CFSP) is a program developed by the RBA and GeSI to enhance company capability to verify the responsible sourcing of metals. Further details of the CFSP can be found here: http://www.responsiblemineralsinitiative.org/conflict-free-smelter-program/.

Conflict Minerals Reporting Template (CMRT): formerly known as the EICC-GeSI Template, this excel based file is the common reporting tool for suppliers to survey their supply base for smelter information. The data format is also noted in the IPC-1755 Conflict Minerals Data Exchange standard.

Conflict Mineral: As defined in 2010 United States legislation, Dodd-Frank Wall Street Reform and Consumer Protection Act, Section 1502(e)(4):
CONFLICT MINERAL.—The term ''conflict mineral'' means—
(A) columbite-tantalite (coltan), cassiterite, gold, wolframite, or their derivatives; or
(B) any other mineral or its derivatives determined by the Secretary of State to be financing conflict in the Democratic Republic of the Congo or an adjoining country (available at http://www.sec.gov/about/laws/wallstreetreform-cpa.pdf)

Covered Countries: Refers to the Democratic Republic of the Congo (DRC) and adjoining countries (Congo Republic, Central Africa Republic, South Sudan, Uganda, Rwanda, Burundi, Tanzania, Zambia, or Angola)

DRC conflict-free: Products that do not contain minerals that directly or indirectly finance or benefit armed groups in the Democratic Republic of the Congo or an adjoining country. Source: 2010 United States legislation, Dodd-Frank Wall Street Reform and Consumer Protection Act, Section 1502 (http://www.sec.gov/about/laws/wallstreetreform-cpa.pdf).

EICC: Electronic Industry Citizenship Coalition; now the Responsible Business Alliance (RBA) (www.responsiblebusiness.org)

GeSI: Global e-Sustainability Initiative (www.gesi.org)

Gold (Au) refiner (smelter): A gold refiner is a metallurgical operation that produces fine gold with a concentration of 99.5% or higher from gold and gold-bearing materials with lower concentrations. Refer to the CFSP audit protocol for this metal for a complete description: http://www.responsiblemineralsinitiative.org/audit-protocols-procedures/.

Independent Third-Party Audit Firm: With respect to smelter audits, an "Independent Third-Party Audit Firm" is a private sector organization competent in evaluating the smelter or refiner's materials traceability against the standards of the CFSP or equivalent audit protocols. To maintain neutrality and impartiality, such organization and its audit team members must have no conflicts of interest with the auditee.

Intentionally added: Intentionally added is commonly known as the deliberate use of a substance, or in this case metal, in the formulation of a product where continued presence is desired to provide a

specific characteristic, appearance or quality.

While the SEC does not define the phrase "intentionally added" in the final rule*, the rule's preamble states:

"[W]e agree that being intentionally added, rather than being a naturally-occurring by-product, is a significant factor in determining whether a conflict mineral is "necessary to the functionality or production" of a product. This is true regardless of who intentionally added the conflict mineral to the product so long as it is contained in the product. [D]etermining whether a conflict mineral is considered "necessary" to a product should not depend on whether the conflict mineral is added directly to the product by the issuer or whether it is added to a component of the product that the issuer receives from a third party. Instead, the issuer should 'report on the totality of the product and work with suppliers to comply with the requirements.' Therefore, in determining whether a conflict mineral is "necessary" to a product, an issuer must consider any conflict mineral contained in its product, even if that conflict mineral is only in the product because it was included as part of a component of the product that was manufactured originally by a third party."
*(56296 Federal Register / Vol. 77, No. 177 / Wednesday, September 12, 2012 / Rules and Regulations)

IPC: The global trade association serving the printed board and electronics assembly industries, their customers and suppliers (www.ipc.org)

JEITA: Japan Electronics and Information Technology Industries Association (www.jeita.or.jp/english/#)

Necessary for the Production of a Product: The SEC does not provide a formal definition of this phrase in the final rule*; however, it provides some guidance: A conflict mineral will be considered to be necessary to the production of a product when: 1) it is intentionally included in the product's production process, other than if it is included in a tool, machine, or equipment used to produce the product (such as computers or power lines); 2) it is included in the product (MUST be contained in the product to be applicable); and 3) it is necessary to the product.

*(56296 Federal Register / Vol. 77, No. 177 / Wednesday, September 12, 2012 / Rules and Regulations)

OECD: Organisation for Economic Co-operation and Development (www.oecd.org)

Product: A company's Product or Finished good is a material or item which has completed the final stage of manufacturing and/or processing and is available for distribution or sale to customers.

RBA: Responsible Business Alliance (RBA) (www.responsiblebusiness.org); formerly the Electronic Industry Citizenship Coalition (EICC)

Recycled or Scrap Sources: Recycled or scrap sources are recycled metals, that are reclaimed end-user or post-consumer products, or scrap processed metals created during product manufacturing. Recycled metal includes excess, obsolete, defective, and scrap metal materials that contain refined or processed metals that are appropriate to recycle in the production of tin, tantalum, tungsten and/or gold. Minerals partially processed, unprocessed or byproducts from other ores are not included in the definition of recycled metal.

Relevant suppliers: Generally, companies should define their universe of relevant suppliers in a manner which addresses the accepted tolerance for compliance of their stakeholders. Companies commonly define "relevant suppliers" as: 1) all suppliers that use 3TG in the parts that they provide to your company; or 2) suppliers of a particular commodity known to contain 3TG.

RMI: Responsible Minerals Initiative (RMI) (www.responsiblemineralsinitiative.org); formerly the Conflict-Free Sourcing Initiative (CFSI)

RCOI: Reasonable Country of Origin

SEC: Securities and Exchange Commission (www.sec.gov)

SOR: Smelter or refiner

Smelter: A smelter or refiner is a company that procures and processes mineral ore, slag and/or materials from recycled or scrap sources into refined metal or metal containing intermediate products. The output can be pure (99.5% or greater) metals, powders, ingots, bars, grains, oxides or salts. The terms "smelter" and "refiner" are used interchangeably throughout various publications.

Smelter Identification Number: A unique identification number the CFSI assigns to companies that have been reported by members of the supply chain as smelters or refiners. The identification number alone does not indicate CFSP verification.

Tantalum (Ta) smelter: A tantalum smelter (also known as a processor) is defined as a company that converts Ta-containing ores, concentrates, slags or secondary materials into tantalum intermediate products or other tantalum containing products for direct sales or further processing into Ta-containing products, such as Ta powders, Ta components, Ta oxides, alloys, wires, sintered bars, etc. Refer to the CFSP audit protocol for this metal for a complete description at: http://www.responsiblemineralsinitiative.org/audit-protocols-procedures/.

Tin (Sn) smelter: Primary [tin] smelters are companies with one or more facilities treating tin containing ore concentrates in order to produce tin metal. Secondary [tin] smelters are companies with one or more facilities that treat secondary materials by reduction for the production of crude or higher grade tin or tin product such as solder. A smelter as referred to within this audit protocol may operate as either one or both types of business operation. Refer to the CFSP audit protocol for this metal for a complete description: http://www.responsiblemineralsinitiative.org/audit-protocols-procedures/.

Tungsten (W) smelter: A company with one or more facilities that converts W-containing ores (such as wolframite and scheelite), W concentrates, or W-bearing scrap (secondary material) into tungsten containing intermediates such as Ammonium Para-Tungstate (APT), Ammonium Meta-Tungstate (AMT), ferrotungsten, and tungsten oxides for direct sales or further processed into W-containing products (such as W powder or W-carbide powder). Refer to the CFSP audit protocol for this metal for a complete description: http://www.responsiblemineralsinitiative.org/audit-protocols-procedures/.

Revision numbering procedure

What do changes of the different characters of the revision number signify?

- A change in the first digit of the revision number (e.g., <u>1</u>.0 to <u>2</u>.0) signifies that a set of major improvements have occurred and would likely include different data reporting requirements.

- Changes to the first decimal places (2.<u>1</u>0 to 2.<u>2</u>0) indicate that minor changes have been made to the template and are not expected to result in substantial changes to the data being reported.

- Changes to the second decimal places (2.1<u>0</u> to 2.1<u>1</u>) indicates an even more minor change, for example an update to the smelter reference list

- Changes to alpha characters (e.g., "a", or "b", or "c") following the revision number indicates that the version is an alpha or a beta version; these only appear on pre-released versions and would be dropped once the version is released to the public. A version with a letter (post version 4.xx) should not be used in commerce. CFSI recommends that companies reject these versions as they are pre-release and could contain errors or other inconsistencies which could impact the accuracy of the data.

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[i] Former question G ("Do you request smelter names from your suppliers?") has been removed as per IPC-1755 Amendment 2