



Abbott Supplier Training on Conflict Minerals and Reporting

Version 7.0

Background: Conflict Minerals

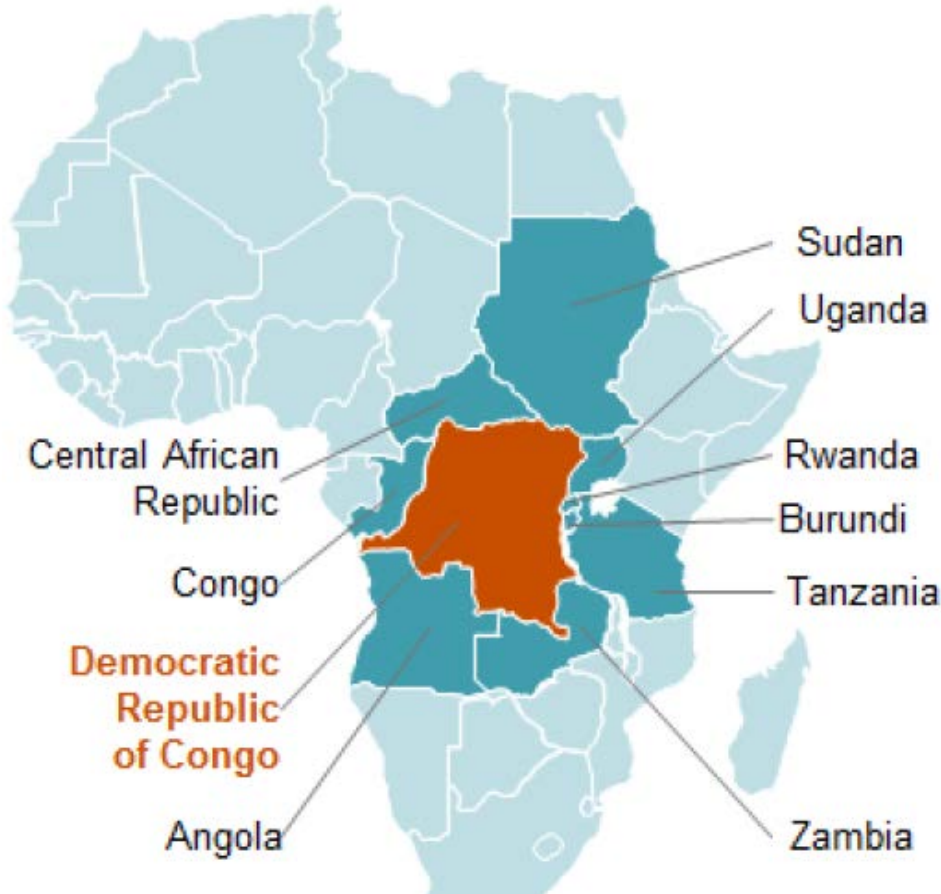
- Conflict Minerals are gold and the ores from which tin, tantalum, and tungsten are derived.
- It is widely believed that funds from certain Conflict Mineral mines in the Democratic Republic of Congo and surrounding countries may be benefiting armed groups engaged in ongoing human rights abuses.
- In response, the U.S. Congress passed legislation that requires publicly traded companies to file disclosures and reports with the U.S. Securities and Exchange Commission related to the use and source of Conflict Minerals in the company's products.

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Background: Conflict Minerals


- The law requiring the sourcing and use of Conflict Minerals to be disclosed is in Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act (the “Dodd-Frank Act”).
- The Dodd-Frank Act does not require companies to stop sourcing and using Conflict Minerals.
- Instead, the Dodd-Frank Act requires public disclosure relating to sourcing and using of Conflict Minerals.
- The Dodd-Frank Act left details of the implementation to the SEC.

Map of Countries in Scope of Conflict Minerals



Abbott's Expectation of Suppliers

- Suppliers must report on the source and chain of custody of the Conflict Minerals in the product/part/components supplied to Abbott via the Conflict Minerals Reporting Template (CMRT).
- The CMRT was developed by the Conflict Free Sourcing Initiative (CFSI). It is the standard form used for reporting on Conflict Minerals.
- Form version 4.10 or any subsequent version should be completed for the current year.
- Form 4.10 can also be accessed from the Conflict Free Sourcing Initiative (CFSI) website: [CMRT Form](#).


 <p>An initiative of the EICC and GeSI</p>	Conflict Minerals Reporting Template (CMRT)	
	<p><u>Select Language Preference Here:</u> 请选择你的语言: 사용할 언어를 선택하십시오: 表示言語をここから選択してください: Sélectionner la langue préférée ici: Seleccione Preferència de idioma Aquí: Wählen sie hier die Sprache: Selecione el lenguaje de preferencia aquí: Selezionare la lingua di preferenza qui: Burada Dil Tercihini Belirleyin:</p>	<p>English</p>
<p>The purpose of this document is to collect sourcing information on tin, tantalum, tungsten and gold used in products</p>		
<p>Revision 4.10 April 29, 2016 Link to Terms & Conditions</p>		
<p>Mandatory fields are noted with an asterisk (*).</p>		
<p>Company Information</p>		

Preparation of Conflict Minerals Reporting Template

Example 1

- All mandatory fields **MUST** be completed.
- The yellow rows indicate that mandatory information is missing.

Accepted




Company Information		
Company Name (*)	ABC Corporation	
Declaration Scope or Class (*)	A. Company	
Description of Scope:		
Company Unique ID:		
Company Unique ID Authority:		
Address:		
Contact Name (*)	Jeff West	
Email - Contact (*)	jeff.west@ab.com	
Phone - Contact (*)	555-555-5555	
Authorizer (*)	JW	
Title - Authorizer:		
Email - Authorizer (*)	jack.smith@abc.com	
Phone - Authorizer (*)	555-555-5555	
Effective Date (*)	31-Aug-2015	

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

1) Is the 3TG intentionally added to your product? (*)	Answer	Comments
Tantalum (*)	No	
Tin (*)	No	
Gold (*)	No	
Tungsten (*)	No	

2) Is the 3TG necessary to the production of your company's products and contained in the finished product that your company manufactures or contracts to manufacture? (*)	Answer	Comments
Tantalum (*)	Yes	
Tin (*)	Yes	
Gold (*)	Yes	
Tungsten (*)	No	

Rejected



Company Information		
Company Name (*)	ABC Corporation	
Declaration Scope or Class (*)	A. Company	
Description of Scope:		
Company Unique ID:		
Company Unique ID Authority:		
Address:		
Contact Name (*)	Jeff West	
Email - Contact (*)		
Phone - Contact (*)	555-555-5555	
Authorizer (*)		
Title - Authorizer:		
Email - Authorizer (*)	jack.smith@abc.com	
Phone - Authorizer (*)		
Effective Date (*)	31-Aug-2015	

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

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Gold (*)		
Tungsten (*)	No	

2) Is the 3TG necessary to the production of your company's products and contained in the finished product that your company manufactures or contracts to manufacture? (*)	Answer	Comments
Tantalum (*)	Yes	
Tin (*)		
Gold (*)	Yes	
Tungsten (*)		

Preparation of Conflict Minerals Reporting Template

Example 2

- When supplier selects declaration scope as Product Level, the product information must be completed in the Product List tab. All products/parts provided to Abbott must be listed.

Company Information	
Company Name (*):	ABC Corporation
Declaration Scope (*):	D. Product Level
Go to Product List tab to enter products this declaration applies to	Click here to enter the products this declaration applies to
Company Unique Identifier:	
Address:	

Accepted

Completion required only if reporting Product (or List of Products)	
Manufacturer's Product Number (*)	Manufacturer's Product Name
CRCT-1592	Circuit Board
RMPX-1556	Resistor
CMPX-4321	Capacitor

Rejected

Completion required only if reporting Product (or List of Products)	
Manufacturer's Product Number (*)	Manufacturer's Product Name

Preparation of Conflict Minerals Reporting Template

Example 3

- If supplier declared a presence of one or more of the minerals in Q2 of the CMRT form, the Smelter information must be completed in the Smelter List tab. Use the drop down list in the form to complete the Smelter information. Begin by selecting the Metal.
- Select “Smelter Not Listed” if smelter is not found in the Smelter Reference List. Complete all mandatory fields.

Metal (*)	Smelter Reference List (*)	Smelter Name (*)	Smelter Country (*)
Tin			

Metal (*)	Smelter Reference List (*)	Smelter Name (*)	Smelter Country (*)	Smelter Identification	Source of Smelter Identification Number
Tin	Alpha Metals	Alpha	UNITED STATES	CID000292	CFSI
Gold	AGR Mathey	Western Australian Mint trading as The Perth Mint	AUSTRALIA	CID002030	CFSI
Tungsten	ALMT Sumitomo Group	A.L.M.T. TUNGSTEN Corp.	JAPAN	CID000004	CFSI
Gold	AGR(Perth Mint Australia)	Western Australian Mint trading as The Perth Mint	AUSTRALIA	CID002030	CFSI


Preparation of Conflict Minerals Reporting Template

Example 4

- Invalid smelter submissions:

Metal (*)	Smelter Reference List (*)	Smelter Name (*)	Smelter Country (*)
Gold	american pennies		
Tin			
Tantalum			
Tungsten			
Tin			

Microsoft Excel

 The value you entered is not valid.
A user has restricted values that can be entered into this cell.

Invalid entry, you must select from drop-down selection only.

Metal (*)	Smelter Reference List (*)	Smelter Name (*)	Smelter Country (*)
Gold	AGR Mathey	Western Australian Mint trading as The Perth	AUSTRALIA
Tin	Alpha Metals Korea Ltd.	Alpha	UNITED STATES
Tantalum			
Tungsten	ALMT Sumitomo Group	A.L.M.T. TUNGSTEN Corp.	JAPAN
Tin			

Smelter information not provided for all listed metals.

Additional Information

More information can be obtained from the Conflict Free Sourcing Initiative (CFSI) <http://www.conflictreesourcing.org>.

Suppliers can contact Abbott at
AbbottConflictMinerals@abbott.com