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.
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

- Sudan
- Uganda
- Central African Republic
- Democratic Republic of Congo
- Congo
- Rwanda
- Burundi
- Tanzania
- Angola
- Zambia
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 Responsible Minerals Initiative (RMI). It is the standard form used for reporting on Conflict Minerals.
- The latest version of the CMRT has been sent to suppliers and should be completed for the current year.
- The latest version can also be accessed from the Responsible Minerals Initiative (RMI) website: [CMRT Form](#).
Preparation of Conflict Minerals Reporting Template

Example 1

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

<table>
<thead>
<tr>
<th>Accepted</th>
<th>Rejected</th>
</tr>
</thead>
</table>

**Company Information**
- ABC Corporation
- 303 East Main Street
- Contact Name: John Smith
- Email: john.smith@abc.com
- Phone: 555-123-4567
- Authorized: Smith John

**Description of Scope**
- Total Number of Products: 10
- Products: Product A, Product B

**Effective Date**: 26-Sep-2017

**Questions**

<table>
<thead>
<tr>
<th>Question</th>
<th>Accepted</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Is any CTC intentionally added or used in the product(s) or in the production process?</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>2) Does any CTC remain in the product(s)?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

**Company Information**
- XYZ Corporation
- 456 West Main Street
- Contact Name: Jane Doe
- Email: jane.doe@xyz.com
- Phone: 555-789-0123
- Authorized: Doe Jane

**Description of Scope**
- Total Number of Products: 5
- Products: Product X, Product Y

**Effective Date**: 29-Aug-2017

**Questions**

<table>
<thead>
<tr>
<th>Question</th>
<th>Rejected</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1) Is any CTC intentionally added or used in the product(s) or in the production process?</td>
<td>No</td>
<td></td>
</tr>
<tr>
<td>2) Does any CTC remain in the product(s)?</td>
<td>Yes</td>
<td></td>
</tr>
</tbody>
</table>

This information is confidential to Abbott. The user is responsible for using the appropriate version of this document.
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.
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 Look-up. Complete all mandatory fields.

<table>
<thead>
<tr>
<th>Metal (*)</th>
<th>Smelter Look-up (*)</th>
<th>Smelter Name (1)</th>
<th>Smelter Country (*)</th>
<th>Smelter Identification</th>
<th>Source of Smelter Identification Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tantalum</td>
<td>Changsha Southern</td>
<td></td>
<td>CHINA</td>
<td>CID000211</td>
<td>CF51</td>
</tr>
<tr>
<td>Tin</td>
<td>Alpha Metals Korea Ltd.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gold</td>
<td>Smelter not listed</td>
<td>Hong Kong Gold</td>
<td>Hong Kong</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Example 4**

- **Invalid smelter submissions:**

  - **Invalid smelter submissions:**
    - **Invalid entry:** You must select from drop-down selection only.
    - Smelter information not provided for all listed metals.
Additional Information

More information can be obtained from the Responsible Mineral Initiative (RMI) [http://www.responsiblemineralsinitiative.org/](http://www.responsiblemineralsinitiative.org/).

Suppliers can contact Abbott at AbbottConflictMinerals@abbott.com