Background: Conflict Minerals

- Conflict Minerals are gold and the ores from which tin, tantalum, and tungsten are derived.

- In the U.S., 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: U.S. 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.
EU Conflict Minerals

• On 1 January 2021 the EU Conflict Minerals Regulation will become effective. The regulation will focus on conflict-affected or high-risk areas.

• Due diligence obligations will be place on EU importers of conflict minerals.

• Although it is not mandatory for downstream companies to report, supply chains may be affected by importers who do not comply. Therefore, suppliers should have due diligence process in place to mitigate risk.
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>
<tbody>
<tr>
<td><img src="image1" alt="Accepted Example" /></td>
<td><img src="image2" alt="Rejected Example" /></td>
</tr>
</tbody>
</table>

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

1. Is any 3TC intentionally added or used in the product(s) or in the production process? [ ]
   - **Tantalum** (Y)
   - **Tin** (Y)
   - **Gold** (Y)
   - **Tungsten** (Y)

2. Does any 3TC remain in the product(s)? [ ]
   - **Tantalum** (Y)
   - **Tin** (Y)
   - **Gold** (Y)
   - **Tungsten** (Y)

**Company Information**
- **Name:** ABC Corporation
- **Address:** 123 Main St, Anytown, USA
- **Email:** info@abc.com
- **Phone:** 555-1234
- **Effective Date:** 2023-09-15

**Declaration Scope or Class:** A Company

**Confidential Note:** 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.

![Example Diagram]

**Accepted**

<table>
<thead>
<tr>
<th>Manufacturer’s Product Number (*)</th>
<th>Manufacturer’s Product Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>CRCT-1592</td>
<td>Circuit Board</td>
</tr>
<tr>
<td>RMPX-1556</td>
<td>Resistor</td>
</tr>
<tr>
<td>CMPX-4321</td>
<td>Capacitor</td>
</tr>
</tbody>
</table>

**Rejected**

<table>
<thead>
<tr>
<th>Manufacturer’s Product Number (*)</th>
<th>Manufacturer’s Product Name</th>
</tr>
</thead>
</table>

Click here to return to Declaration Scope
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.
**Example 4**

- **Invalid smelter submissions:**

  - ![Invalid smelter submissions](image)

  Smelter information not provided for all listed metals.

  ![Invalid entry](image)

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

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

Guidance for completion of the CMRT can be found at: [http://www.responsiblemineralsinitiative.org/media/docs/CMRT%206.0%20Guide_final.pdf](http://www.responsiblemineralsinitiative.org/media/docs/CMRT%206.0%20Guide_final.pdf)

Suppliers can contact Abbott at: [AbbottConflictMinerals@abbott.com](mailto:AbbottConflictMinerals@abbott.com)