

Abbott Supplier Training on Conflict Minerals and Reporting

Version 10

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.

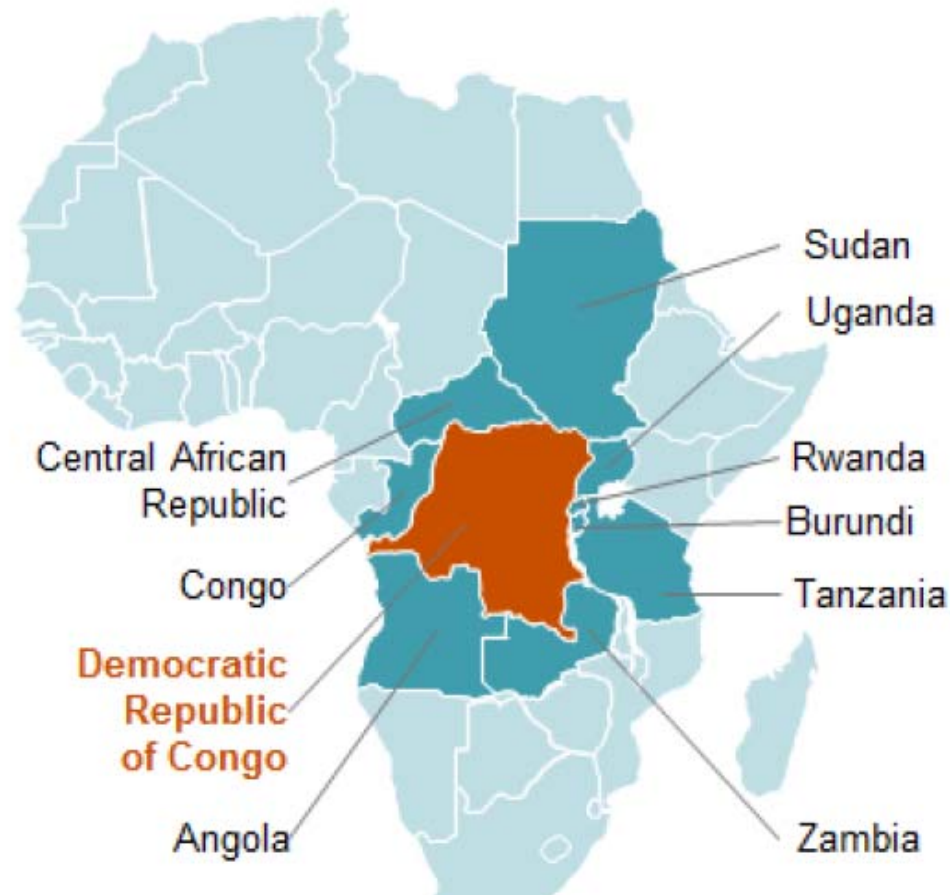
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Background: U.S. Conflict Minerals

- 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.

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Map of Countries in Scope of U.S. Conflict Minerals



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 placed 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](#).

	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><u>English</u></p>
<p>The purpose of this document is to collect sourcing information on tin, tantalum, tungsten and gold used in products</p>		<p>Revision 5.11 April 27, 2018 Link to Terms & Conditions</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 Smith	
Email - Contact (*)	js@abc.com	
Phone - Contact (*)	224 222 2021	
Authorizer (*)	Jeff Smith	
Title - Authorizer:	Jake Lovell	
Email - Authorizer (*)	jake.lovell@ABC.com	
Phone - Authorizer (*)	Not available	
Effective Date (*)	26-Sep-2017	

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 (*)	yes	
Tungsten (*)	Yes	

2) Does any 3TG remain in the product(s)? (*)	Answer	Comments
Tantalum (*)	Yes	
Tin (*)	yes	
Gold (*)	yes	
Tungsten (*)	yes	

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 Smith	
Email - Contact (*)		
Phone - Contact (*)	224 222 2021	
Authorizer (*)		
Title - Authorizer:		
Email - Authorizer (*)	jake.lovell@ABC.com	
Phone - Authorizer (*)		
Effective Date (*)		

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 (*)		
Tin (*)	Yes	
Gold (*)		
Tungsten (*)	Yes	

2) Does any 3TG remain in the product(s)? (*)	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 level "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 level "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 Look-up. Complete all mandatory fields.

Metal (*)	Smelter Look-up (*)	Smelter Name (1)	Sm
Tantalum			
tin	Asaka Riken Co., Ltd. Changsha South Tantalum Niobium Co., Ltd. Changsha Southern Conghua Tantalum and Niobium Smeltry D Block Metals, LLC Douluoshan Sapphire Rare Metal Co Ltd Duoluoshan Exotech Inc.		

Metal (*)	Smelter Look-up (*)	Smelter Name (1)	Smelter Country (*)	Smelter Identification	Source of Smelter Identification Number
Tantalum	Changsha Southern		CHINA	CID000211	CFSI
tin	Alpha Metals Korea Ltd.				
Gold	Smelter not listed	Hong Kong Gold	Hong kong		


Preparation of Conflict Minerals Reporting Template

Example 4

- Invalid smelter submissions:

Metal (*)	Smelter Look-up (*)	Smelter Name (1)	Smelter Country (*)	Smelter Identification Id
Tantalum	american pennsylv			

Microsoft Excel

 This value doesn't match the data validation restrictions defined for this cell.

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

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
Tantalum	F&X Electro-Materials Ltd.		CHINA	CID000460	CFSI		Jiangmen	Guangdong
tin	Alpha		UNITED STATES OF AMERICA	CID000232	CFSI		Altoona	Pennsylvania
Gold								
Tungsten	ALMT Corp		JAPAN	CID000004	CFSI		Tojama City	Tojama

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/>.

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

Suppliers can contact Abbott a:
AbbottConflictMinerals@abbott.com