# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

| FORM | SD |
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SPECIALIZED DISCLOSURE REPORT

# SCHLUMBERGER N.V. (SCHLUMBERGER LIMITED)

(Exact name of registrant as specified in its charter)

Curação1-460152-0684746(State or other jurisdiction of incorporation or organization)(Commission (IRS Employer Identification No.)

42 rue Saint-Dominique Paris, France 75007

5599 San Felipe Houston, Texas, U.S.A. 77056

62 Buckingham Gate
London, United Kingdom SW1E 6AJ

Parkstraat 83
The Hague, The Netherlands
(Addresses of principal executive offices)

(Zip Codes)

Dianne B. Ralston Chief Legal Officer and Secretary (713) 513-2000

(Name and telephone number, including area code, of the person to contact in connection with this report.)

Check the appropriate box to indicate the rule pursuant to which this form is being filed, and provide the period to which the information in this form applies:

Rule 13p-1 under the Securities Exchange Act (17 CFR 240.13p-1) for the reporting period from January 1, 2022 to December 31, 2022.

### Section 1 — Conflict Minerals Disclosure

# Items 1.01 and 1.02 Conflict Minerals Disclosure and Report; Exhibit

### **Conflict Minerals Disclosure**

In accordance with Rule 13p-1 under the Securities Exchange Act of 1934, as amended, Schlumberger Limited (the "Company") has filed this Specialized Disclosure Report and the Conflict Minerals Report attached hereto as Exhibit 1.01 for the year ended December 31, 2022. Both of these documents are publicly available on the Company's website at: https://www.slb.com/who-we-are/guiding-principles/corporate-accountability/conflict-minerals.\*

# Section 2 - Exhibits

### Item 2.01 Exhibits

Exhibit 1.01 - Conflict Minerals Report.

\* \* \* \* \*

<sup>\*</sup> The reference to the Company's website is provided for convenience only, and its contents are not incorporated by reference into this Form SD and the Conflict Minerals Report, nor deemed filed with the Securities and Exchange Commission.

# **SIGNATURES**

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the duly authorized undersigned.

# **SCHLUMBERGER LIMITED**

/s/ Abdellah Merad

Abdellah Merad

Executive Vice President, Core Services & Equipment

Date: May 30, 2023

# SCHLUMBERGER LIMITED CONFLICT MINERALS REPORT FOR THE YEAR ENDED DECEMBER 31, 2022

This Conflict Minerals Report (the "Report") of Schlumberger Limited has been prepared pursuant to Rule 13p-1 and Form SD (the "Rule") promulgated under the Securities Exchange Act of 1934, as amended, for the reporting period from January 1, 2022, to December 31, 2022.

All references in this Report to "SLB," the "Company," "we," "us" or "our" are to Schlumberger Limited (Schlumberger N.V., incorporated in Curação) and its consolidated subsidiaries as of December 31, 2022.

The Rule requires disclosure of certain information when a company manufactures or contracts to manufacture products for which specified minerals are necessary to the functionality or production of those products. The specified minerals are gold, columbite-tantalite (coltan), cassiterite and wolframite, including their derivatives, which are limited to tantalum, tin, and tungsten ("conflict minerals").

#### **Description of Products Covered by this Report**

This Report relates to SLB products: (a) that contain conflict minerals necessary to their functionality or production ("necessary conflict minerals"); (b) that we had reason to believe may have originated in the Democratic Republic of the Congo or an adjoining country (the "covered countries") and may not have come from recycled or scrap sources; and (c) that we manufactured, or contracted to be manufactured, in 2022 (the "covered products").

The covered products are as follows: permanent multiphase meters; subsea safety valves; oil, gas and core analysis laboratory equipment; perforating hardware and accessories; downhole drilling tools; solids and pressure control equipment for drilling fluids systems; data acquisition equipment for drilling operations; surface and downhole completions tools; artificial lift pumps; stimulation pumping and cementing equipment; groundwater monitoring products; drilling equipment packages; blowout preventers; drilling risers, top drives; draw works; complete wellhead and Christmas tree systems for onshore and offshore applications; subsea production systems and manifolds and aftermarket parts; valves; actuators; chokes and aftermarket parts; heaters; dehydration and desalting units; gas conditioning units; membrane separation systems; water processing systems; and electronic controls.

# **Due Diligence Design and Process**

Our due diligence efforts were designed to conform in all material respects to the framework in the Organisation for Economic Co-operation and Development's "OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas" and related Supplements on Gold and on Tin, Tantalum, and Tungsten (collectively, the "OECD Guidance").

The following describes the measures we took to exercise due diligence on the source and chain of custody of necessary conflict minerals contained in our covered products.

# Step 1: Company Management Systems

# **Conflict Minerals Policy**

We have adopted a policy relating to conflict minerals in our products (the "Conflict Minerals Policy"), incorporating relevant standards contained in the OECD Guidance, which is available at https://www.slb.com/who-we-are/guiding-principles/corporate-accountability/conflict-minerals. The Conflict Minerals Policy iterates our commitment to responsibly source materials from suppliers that share our values. It reflects our expectation that our immediate ("Tier 1") suppliers will perform due diligence similar to ours on the sources of conflict minerals in their supply chains and our expectation that they will require their own suppliers to do the same. It further provides generally that when a robust and validated conflict-free supply chain is established, or a robust mineral tracing program is developed, we will expect our direct suppliers to procure only minerals using that validated supply chain, so as to avoid the use of minerals that have financed conflict in the covered countries.

# **Internal Management Teams**

Members of our business, planning and supply chain, legal, compliance, sustainability, human rights, and information technology functions comprised a core team that was involved in various phases of our compliance with the Rule. Members of this core team have put in place processes and controls reasonably designed to increase transparency in our conflict minerals supply chain. Members of the core team annually present to their respective Division Presidents or, in certain cases, Basin Presidents, a final, formal review of (a) their findings as to the source and status of the necessary conflict minerals contained in the covered products for sale by their Division or Basin, as applicable; and (b) their Division or Basin due diligence efforts.

# **Control Systems**

We have (a) adopted various processes related to our conflict minerals compliance efforts and determinations; (b) adopted standardized data templates for all Divisions to promote consistency across various information technology systems; (c) adopted a procedure in our engineering design and manufacturing systems that requires the recording of necessary conflict mineral contents of newly-developed parts included in our products; (d) adopted an electronic repository to retain relevant documentation concerning our conflict minerals compliance efforts and determinations; and (e) adopted written summaries, reviewed by the President of each relevant Division, summarizing how each such Division complied with the Rule and which of its products were subject to the Rule. In addition, certain employees from our planning and supply chain, legal, engineering, manufacturing, sustaining, sales, finance, and compliance functions are targeted for annual training.

As a downstream company, we are several tiers removed from conflict mineral smelters and refiners ("SORs"). We, therefore, must rely on information from industry sources to compare and assess due diligence responses, identify SORs in our supply chains and improve our ongoing due diligence efforts. We implemented a supply chain transparency system through the use of due diligence tools developed by the Responsible Minerals Initiative ("RMI"), including the RMI Conflict Minerals Reporting Template (the "Template"), which is designed to identify the SORs that process the conflict minerals in a company's supply chain. We also support our suppliers' use of validation, certification and audit programs on SORs upstream in our supply chain, such as:

- the Responsible Minerals Assurance Process ("RMAP") developed by RMI,
- the ITRI Tin Supply Chain Initiative,
- the Tungsten Industry Conflict Mineral Council Framework,
- the London Bullion Market Association ("LBMA"), and
- the Responsible Jewellery Council ("RJC").

We maintain a company-level grievance mechanism, as described in our Code of Conduct, that enables employees and others to anonymously report concerns, including any concerns regarding our conflict minerals supply chain. We communicate this mechanism to our employees at various times.

# Step 2: Identification and Assessment of Supply Chain Risks

In order to identify and assess the risks in our supply chain, we first identified products for sale that we manufactured or contracted to manufacture in 2022 that contained, or that may have contained, necessary conflict minerals. As stated above, we have adopted a procedure in our engineering design and manufacturing system that is reasonably designed to identify each necessary conflict mineral included in our products. In cases where we determined that a necessary conflict mineral was contained in one of our parts, we identified that specific mineral and flagged both the part and finished product containing that part in our system. If, after our initial research, we were unable to determine whether a necessary conflict mineral was included in a part, we considered that part to be in scope of the Rule, and such part was internally flagged for additional research. For each new part developed or manufactured in 2022, the engineers and métiers in charge of providing materials for such part were required to indicate any necessary conflict minerals included in the part. Where we determined that a newly-developed part contained a necessary conflict mineral and that the finished product was in scope of the Rule, we included that part in our further information-gathering efforts. We then identified our Tier 1 suppliers that supplied us with the parts and products considered to be within the scope of the Rule.

Because we are several tiers removed from mining operations and SORs, we must rely on our suppliers to provide information regarding the source and presence of necessary conflict minerals in our covered products. To that end, we engaged a third-party data collection and aggregation provider to assist us in conducting due diligence on our supply chain. Information was collected using the Template, which requested our Tier 1 suppliers to identify the SORs and countries of origin of the necessary conflict minerals they supplied to us and contained in our covered products and to determine whether any such necessary conflict minerals came from recycled or scrap sources. These requests were sent in multiple languages for the 2022 reporting year, in order to facilitate improved supplier response rates. In conducting due diligence, we prioritized obtaining responses from our critical suppliers, as determined based on their strategic and commercial importance to us and as discussed under "Supplier Categories" in "Step 5: Report on Supply Chain Due Diligence" below. We communicated this priority to our third-party data collection and aggregation provider in an effort to increase the response rate of these suppliers.

Our supplier engagement began with introductory emails to relevant Tier 1 suppliers, notifying them that we would be conducting appropriate due diligence regarding the presence, source, and chain of custody for any necessary conflict minerals that may be contained in parts or products that we purchased from them. The emails also described our conflict minerals compliance program and the Rule. In an

effort to increase awareness of our conflict minerals program, we provided suppliers with background materials describing the conflict minerals rule, including frequently asked questions regarding, among other things, conflict minerals tracing. We requested product-level information from our Tier 1 suppliers on the parts and products we purchased from them. Suppliers were allowed to submit multiple responses as necessary to address all such parts and products.

We pursued subsequent engagement with non-responsive suppliers, including sending multiple email reminders requesting survey completion. Suppliers who remained non-responsive after these email reminders were contacted by phone and offered assistance, including further information about the Rule, our conflict minerals program, and clarification regarding how they could provide the required information. If, following the above efforts, a supplier still did not provide the information requested, we further escalated the matter internally and followed up directly with these suppliers.

We reviewed and evaluated all supplier responses for consistency and completeness, both in terms of which products were said to contain or not contain necessary conflict minerals, as well as the origin of those materials. When necessary, we followed up with suppliers on responses to their reporting templates to seek clarifying or corrective information. We requested (a) evidence that the product does not contain conflict minerals or (b) an updated Template response indicating the results of such supplier's due diligence on the source of any conflict minerals contained in such product.

Each facility that meets the definition of a smelter or refiner of a conflict mineral is assessed according to red-flag indicators defined in the OECD Guidance. SLB uses numerous factors to determine the level of risk that each smelter poses to the supply chain by identifying those red flags. These factors include:

- · geographic proximity to conflict-affected and high-risk areas,
- known mineral source country of origin,
- RMAP audit status,
- credible evidence of unethical or conflict sourcing.
- peer assessments conducted by credible third-party sources, and
- sanctions risks.

Risk mitigation activities are initiated whenever a supplier's Template reports SORs of concern. Through our third-party service provider, suppliers with submissions that included any smelters of concern were immediately provided with feedback instructing suppliers to take their own independent risk mitigation actions. Examples include the submission of a product-specific Template to better identify the connection to products that they supply to SLB. Additional escalation may have been necessary to address any continued sourcing from these smelters of concern. Suppliers are given educational materials and objectives within reasonable timeframes to mitigate risks and progressively eliminate smelters of concern from their supply chain.

We followed up on all flagged responses to clarify and address inconsistencies, incompleteness, invalid responses, uncertainties, and responses indicating that relevant conflict minerals were or may have been sourced from one or more of the covered countries.

## Step 3: Strategy to Respond to Identified Risks

For any SORs that were known to source necessary conflict minerals from any of the covered countries, we confirmed that such SORs were listed in the various lists of compliant SORs described above. For any SORs known to source conflict minerals from covered countries, as well as SORs located in any covered country with unknown sources of conflict minerals, SLB has provided immediate feedback to its suppliers, at the time of their Template submission through our third-party service provider system, instructing suppliers to take their own independent risk analysis and mitigation actions. Additionally, in 2023, we will send a communication to our Tier 1 suppliers who sourced from such SORs, recommending that they request that such SORs become certified as compliant, pursue an alternative source of conflict minerals, and participate in the RMI to support industry efforts to achieve supply chain transparency.

As described in our Conflict Minerals Policy, in the event that we have reason to believe a supplier is supplying us with conflict minerals from sources that may support conflict in any of the covered countries, we will encourage that supplier to establish an alternative source of conflict minerals that does not support such conflict, or we may consider reevaluating the supplier relationship. If a Tier 1 supplier (i) has been unresponsive or otherwise uncooperative in our due diligence efforts or (ii) is not compliant with our Conflict Minerals Policy and is unwilling to expect its own suppliers to use conflict-free sources, then we may likewise reassess the supplier relationship. As described above, we support the use of validation, certification, and audit programs for SORs in our supply chain.

Our supplier engagement efforts described above in "Step 2: Identification and Assessment of Supply Chain Risks" also support our risk mitigation efforts.

## Step 4: Independent Third-Party Audit of SORs' Due Diligence Practices

As stated above, we are several tiers removed from mining operations and SORs. Furthermore, we do not have direct relationships with SORs, and while we conduct routine audits of our critical suppliers in accordance with internal requirements, we do not perform direct audits of all the upstream entities within our supply chain. Accordingly, we rely on our suppliers to provide the information necessary to assess compliance with our conflict minerals program and support the development and implementation of independent third-party audits of SORs' sourcing, such as the RMAP.

We use a third party to aid in verifying the information supplied by our suppliers with respect to the SORs that they source from, and to review and confirm the validity of the RMAP, RJC, and LBMA certifications of those SORs. In some cases, our third party reaches out directly to SORs as necessary to confirm the information either publicly available or made available in reporting template responses that may be contradictory or incomplete.

# Step 5: Report on Supply Chain Due Diligence

As indicated in the Specialized Disclosure Report on Form SD, this Report and our Conflicts Minerals Policy are publicly available on our website at https://www.slb.com/who-we-are/guiding-principles/corporate-accountability/conflict-minerals.

#### **Supplier Categories**

We categorize our suppliers by commercial importance:

- Supplier Management (SM) Level 1 suppliers are the most commercially important suppliers to SLB, with a corresponding full management model.
- SM Level 2 suppliers are necessary to support SLB's operations, and their performance is monitored with an essential management model.
- SM Level 3 suppliers are tail-end suppliers with a basic management model.

We further classify certain SM Level 1 and SM Level 2 suppliers as "critical" if they provide materials, components, or services that may significantly influence one or more aspects of SLB products and service performance. This includes elements such as safety, technology, and competitiveness, as well as compliance with operations integrity, health, safety and environmental standards, and ethics standards.

For 2022, we sent the Template to 3,090 suppliers and received completed responses from approximately 64% of these suppliers. As part of our risk identification and mitigation efforts, we focused on obtaining responses from our priority suppliers, including SM Level 1 suppliers, SM Level 2 suppliers, and critical suppliers within those two categories.

# **Results of Supply Chain Due Diligence**

The following table lists the response rate and certain other information for our suppliers who received the Template in 2022.

| Supplier Category | Response Rate | Number of Suppliers |
|-------------------|---------------|---------------------|
| SM Level 1        | 87%           | 135                 |
| SM Level 2        | 75%           | 879                 |
| SM Level 3        | 58%           | 2.076               |

Many of the respondents indicated that they had not finished the due diligence on their supply chains and were still completing the Template.

For responses we received at the product level, 345 SORs, organized by type of metal, are listed in the tables in <u>Appendix A</u> below. Based on our due diligence, we identified 89 verified SORs that smelt or source conflict minerals from one or more of the covered countries, of which:

- 70 are certified by a recognized certification body,
- six are not currently certified by a recognized certification body, but are in the process of becoming certified by RMAP, and
- 13 are not currently participating in RMAP.

As stated above, for each of these SORs not currently certified by a recognized certification body, we will send, in 2023, a communication to our Tier 1 suppliers who sourced from such SORs, recommending that they request that such SORs become certified as compliant, that they pursue an alternative source of conflict minerals, and that they participate in the RMI to support industry efforts to achieve supply chain transparency.

Appendix A includes all SORs that our suppliers listed in completed Templates and that met the recognized definition of a conflict minerals processing facility and were operational during the 2022 calendar year. As is a common practice when requests are sent upstream in the supply chain, those who purchase materials from smelters may not be able to discern precisely which company's product lines the materials may end up in. As a result, those providing the SORs have the practice of listing all SORs they may purchase from within the reporting period. Therefore, the SORs (as sources) listed in <u>Appendix A</u> are likely to be more comprehensive than the list of SORs which actually processed the conflict minerals contained in SLB's products.

<u>Appendix B</u> includes an aggregated list of countries of origin from which the reported SORs collectively source conflict minerals, based on reasonable identification of country-of-origin data obtained via our third-party service provider's supply chain database. As mentioned in the above paragraph, it is understood that overreporting might occur, which could result in <u>Appendix B</u> having more countries than those strictly relevant to SLB's products.

# **Future Process Improvements**

Supplier engagement — As stated above, we received responses from 64% of our Tier 1 suppliers for 2022. We will continue to engage with our Tier 1 suppliers in an attempt to increase supply chain transparency, including by following up with unresponsive suppliers and sending the communications described in "Step 3: Strategy to Respond to Identified Risks". In addition, we will work with our Tier 1 suppliers to obtain even more product-level responses.

*Employee training* — Approximately 91% of our employees targeted for training on the Rule completed their annual training in 2022. These employees are members of the planning and supply chain, legal, engineering, manufacturing, sustaining, sales and marketing, finance, and compliance functions.

Automation of additional business lines — As described above, we have adopted standardized data templates for all Divisions to ensure consistency across various information technology systems and adopted a procedure in our engineering design and manufacturing systems that requires the recording of necessary conflict mineral contents of newly-developed parts included in our products. These templates and systems continue to be refined and automated in our current business lines and implemented in any new business lines resulting from acquisition throughout the calendar year. We expect to continue improving our automatization of these processes and the number of business lines they cover.

# Appendix A: Smelter List

| Metal | Smelter Name   | Smelter<br>Facility<br>Location | Smelter<br>ID | RMAP Audit Status                           |
|-------|--|---------------------------------|---------------|---|
| Gold  | Advanced Chemical Company  | United States Of America        | CID000015     | Conformant                                  |
| Gold  | Aida Chemical Industries Co., Ltd.                                 | Japan                           | CID000019     | Conformant                                  |
| Gold  | Agosi AG   | Germany                         | CID000035     | Conformant                                  |
| Gold  | Almalyk Mining and Metallurgical Complex (AMMC)                    | Uzbekistan                      | CID000041     | Conformant                                  |
| Gold  | AngloGold Ashanti Corrego do Sitio<br>Mineracao                    | Brazil                          | CID000058     | Conformant                                  |
| Gold  | Argor-Heraeus S.A.   | Switzerland                     | CID000077     | Conformant                                  |
| Gold  | Asahi Pretec Corp.   | Japan                           | CID000082     | Conformant                                  |
| Gold  | Asaka Riken Co., Ltd.  | Japan                           | CID000090     | Conformant                                  |
| Gold  | Atasay Kuyumculuk Sanayi Ve Ticaret A.S.                           | Turkey                          | CID000103     | Outreach Required                           |
| Gold  | Aurubis AG   | Germany                         | CID000113     | Conformant                                  |
| Gold  | Bangko Sentral ng Pilipinas (Central Bank of the Philippines)      | Philippines                     | CID000128     | Conformant                                  |
| Gold  | Boliden AB   | Sweden                          | CID000157     | Conformant                                  |
| Gold  | C. Hafner GmbH + Co. KG  | Germany                         | CID000176     | Conformant                                  |
| Gold  | Caridad  | Mexico                          | CID000180     | Outreach Required                           |
| Gold  | CCR Refinery - Glencore Canada<br>Corporation                      | Canada                          | CID000185     | Conformant                                  |
| Gold  | Cendres + Metaux S.A.  | Switzerland                     | CID000189     | Non Conformant                              |
| Gold  | Yunnan Copper Industry Co., Ltd.                                   | China                           | CID000197     | Outreach Required                           |
| Gold  | Chimet S.p.A.  | Italy                           | CID000233     | Conformant                                  |
| Gold  | Chugai Mining  | Japan                           | CID000264     | Conformant                                  |
| Gold  | Daye Non-Ferrous Metals Mining Ltd.                                | China                           | CID000343     | In Communication                            |
| Gold  | DSC (Do Sung Corporation)  | Korea, Republic Of              | CID000359     | Conformant                                  |
| Gold  | Dowa   | Japan                           | CID000401     | Conformant                                  |
| Gold  | Eco-System Recycling Co., Ltd. East Plant                          | Japan                           | CID000425     | Conformant                                  |
| Gold  | JSC Novosibirsk Refinery   | Russian Federation              | CID000493     | RMI Due Diligence Review                    |
| Gold  | Refinery of Seemine Gold Co., Ltd.                                 | China                           | CID000522     | Outreach Required                           |
| Gold  | Guoda Safina High-Tech Environmental<br>Refinery Co., Ltd.         | China                           | CID000651     | Outreach Required                           |
| Gold  | Hangzhou Fuchunjiang Smelting Co., Ltd.                            | China                           | CID000671     | Outreach Required                           |
| Gold  | LT Metal Ltd.  | Korea, Republic Of              | CID000689     | Conformant                                  |
| Gold  | Heimerle + Meule GmbH  | Germany                         | CID000694     | Conformant                                  |
| Gold  | Heraeus Metals Hong Kong Ltd.                                      | China                           | CID000707     | Conformant                                  |
| Gold  | Heraeus Germany GmbH Co. KG  | Germany                         | CID000711     | Conformant                                  |
| Gold  | Hunan Chenzhou Mining Co., Ltd.                                    | China                           | CID000767     | Outreach Required                           |
| Gold  | Hunan Guiyang yinxing Nonferrous Smelting Co., Ltd.                | China                           | CID000773     | Outreach Required                           |
| Gold  | HwaSeong CJ CO., LTD.  | Korea, Republic Of              | CID000778     | Communication Suspended -<br>Not Interested |
| Gold  | Inner Mongolia Qiankun Gold and Silver<br>Refinery Share Co., Ltd. | China                           | CID000801     | Conformant                                  |

| Gold | Ishifuku Metal Industry Co., Ltd.   | Japan                    | CID000807 | Conformant               |
|------|---|--------------------------|-----------|--------------------------|
| Gold | Istanbul Gold Refinery  | Turkey                   | CID000814 | Conformant               |
| Gold | Japan Mint  | Japan                    | CID000823 | Conformant               |
| Gold | Jiangxi Copper Co., Ltd.  | China                    | CID000855 | Conformant               |
| Gold | Asahi Refining USA Inc.   | United States Of America | CID000920 | Conformant               |
| Gold | Asahi Refining Canada Ltd.  | Canada                   | CID000924 | Conformant               |
| Gold | JSC Ekaterinburg Non-Ferrous Metal<br>Processing Plant                            | Russian Federation       | CID000927 | RMI Due Diligence Review |
| Gold | JSC Uralelectromed  | Russian Federation       | CID000929 | RMI Due Diligence Review |
| Gold | JX Nippon Mining & Metals Co., Ltd.   | Japan                    | CID000937 | Conformant               |
| Gold | Kazakhmys Smelting LLC  | Kazakhstan               | CID000956 | In Communication         |
| Gold | Kazzinc   | Kazakhstan               | CID000957 | Conformant               |
| Gold | Kennecott Utah Copper LLC   | United States Of America | CID000969 | Conformant               |
| Gold | Kojima Chemicals Co., Ltd.  | Japan                    | CID000981 | Conformant               |
| Gold | Kyrgyzaltyn JSC   | Kyrgyzstan               | CID001029 | Non Conformant           |
| Gold | L'azurde Company For Jewelry  | Saudi Arabia             | CID001032 | RMI Due Diligence Review |
| Gold | Lingbao Gold Co., Ltd.  | China                    | CID001056 | Outreach Required        |
| Gold | Lingbao Jinyuan Tonghui Refinery Co., Ltd.  | China                    | CID001058 | Outreach Required        |
| Gold | LS-NIKKO Copper Inc.  | Korea, Republic Of       | CID001078 | Conformant               |
| Gold | Luoyang Zijin Yinhui Gold Refinery Co., Ltd.                                      | China                    | CID001093 | Outreach Required        |
| Gold | Materion  | United States Of America | CID001113 | Conformant               |
| Gold | Matsuda Sangyo Co., Ltd.  | Japan                    | CID001119 | Conformant               |
| Gold | Metalor Technologies (Suzhou) Ltd.  | China                    | CID001147 | Conformant               |
| Gold | Metalor Technologies (Hong Kong) Ltd.   | China                    | CID001149 | Conformant               |
| Gold | Metalor Technologies (Singapore) Pte., Ltd.                                       | Singapore                | CID001152 | Conformant               |
| Gold | Metalor Technologies S.A.   | Switzerland              | CID001153 | Conformant               |
| Gold | Metalor USA Refining Corporation  | United States Of America | CID001157 | Conformant               |
| Gold | Metalurgica Met-Mex Penoles S.A. De C.V.  | Mexico                   | CID001161 | Conformant               |
| Gold | Mitsubishi Materials Corporation  | Japan                    | CID001188 | Conformant               |
| Gold | Mitsui Mining and Smelting Co., Ltd.  | Japan                    | CID001193 | Conformant               |
| Gold | Moscow Special Alloys Processing Plant  | Russian Federation       | CID001204 | RMI Due Diligence Review |
| Gold | Nadir Metal Rafineri San. Ve Tic. A.S.  | Turkey                   | CID001220 | Conformant               |
| Gold | Navoi Mining and Metallurgical Combinat   | Uzbekistan               | CID001236 | Conformant               |
| Gold | Nihon Material Co., Ltd.  | Japan                    | CID001259 | Conformant               |
| Gold | Ohura Precious Metal Industry Co., Ltd.   | Japan                    | CID001325 | Conformant               |
| Gold | OJSC "The Gulidov Krasnoyarsk<br>Non-Ferrous Metals Plant" (OJSC<br>Krastsvetmet) | Russian Federation       | CID001326 | RMI Due Diligence Review |
| Gold | MKS PAMP SA   | Switzerland              | CID001352 | Conformant               |
| Gold | Penglai Penggang Gold Industry Co., Ltd.  | China                    | CID001362 | Outreach Required        |
|      |   |                          |           |                          |

| Gold | Prioksky Plant of Non-Ferrous Metals                    | Russian Federation        | CID001386 | RMI Due Diligence Review                    |
|------|---|---------------------------|-----------|---|
| Gold | PT Aneka Tambang (Persero) Tbk                          | Indonesia                 | CID001397 | Conformant                                  |
| Gold | PX Precinox S.A.  | Switzerland               | CID001498 | Conformant                                  |
| Gold | Rand Refinery (Pty) Ltd.                                | South Africa              | CID001512 | Conformant                                  |
| Gold | Royal Canadian Mint                                     | Canada                    | CID001534 | Conformant                                  |
| Gold | Sabin Metal Corp.                                       | United States Of America  | CID001546 | Communication Suspended -<br>Not Interested |
| Gold | Samduck Precious Metals                                 | Korea, Republic Of        | CID001555 | Non Conformant                              |
| Gold | Samwon Metals Corp.                                     | Korea, Republic Of        | CID001562 | Communication Suspended -<br>Not Interested |
| Gold | SEMPSA Joyeria Plateria S.A.                            | Spain                     | CID001585 | Conformant                                  |
| Gold | Shandong Tiancheng Biological Gold Industrial Co., Ltd. | China                     | CID001619 | Outreach Required                           |
| Gold | Shandong Zhaojin Gold & Silver Refinery Co., Ltd.       | China                     | CID001622 | Conformant                                  |
| Gold | Sichuan Tianze Precious Metals Co., Ltd.                | China                     | CID001736 | Conformant                                  |
| Gold | SOE Shyolkovsky Factory of Secondary<br>Precious Metals | Russian Federation        | CID001756 | RMI Due Diligence Review                    |
| Gold | Solar Applied Materials Technology Corp.                | Taiwan, Province Of China | CID001761 | Conformant                                  |
| Gold | Sumitomo Metal Mining Co., Ltd.                         | Japan                     | CID001798 | Conformant                                  |
| Gold | Tanaka Kikinzoku Kogyo K.K.                             | Japan                     | CID001875 | Conformant                                  |
| Gold | Great Wall Precious Metals Co., Ltd. of CBPM            | China                     | CID001909 | Outreach Required                           |
| Gold | Shandong Gold Smelting Co., Ltd.                        | China                     | CID001916 | Conformant                                  |
| Gold | Tokuriki Honten Co., Ltd.                               | Japan                     | CID001938 | Conformant                                  |
| Gold | Tongling Nonferrous Metals Group Co., Ltd.              | China                     | CID001947 | Outreach Required                           |
| Gold | Torecom   | Korea, Republic Of        | CID001955 | Conformant                                  |
| Gold | Umicore S.A. Business Unit Precious Metals Refining     | Belgium                   | CID001980 | Conformant                                  |
| Gold | United Precious Metal Refining, Inc.                    | United States Of America  | CID001993 | Conformant                                  |
| Gold | Valcambi S.A.   | Switzerland               | CID002003 | Conformant                                  |
| Gold | Western Australian Mint (T/a The Perth Mint)            | Australia                 | CID002030 | Conformant                                  |
| Gold | Yamakin Co., Ltd.                                       | Japan                     | CID002100 | Conformant                                  |
| Gold | Yokohama Metal Co., Ltd.                                | Japan                     | CID002129 | Conformant                                  |
| Gold | Zhongyuan Gold Smelter of Zhongjin Gold<br>Corporation  | China                     | CID002224 | Conformant                                  |
| Gold | Gold Refinery of Zijin Mining Group Co., Ltd.           | China                     | CID002243 | Conformant                                  |
| Gold | Morris and Watson                                       | New Zealand               | CID002282 | In Communication                            |
| Gold | SAFINA A.S.   | Czechia                   | CID002290 | Conformant                                  |
| Gold | Guangdong Jinding Gold Limited                          | China                     | CID002312 | Outreach Required                           |
| Gold | Umicore Precious Metals Thailand                        | Thailand                  | CID002314 | Non Conformant                              |
| Gold | Geib Refining Corporation                               | United States Of America  | CID002459 | Conformant                                  |
| Gold | MMTC-PAMP India Pvt., Ltd.                              | India                     | CID002509 | Conformant                                  |
|      |   |                           |           |   |

| Gold | KGHM Polska Miedz Spolka Akcyjna                                | Poland                    | CID002511 | Conformant                             |
|------|---|---------------------------|-----------|--|
| Gold | Fidelity Printers and Refiners Ltd.                             | Zimbabwe                  | CID002515 | RMI Due Diligence Review               |
| Gold | Singway Technology Co., Ltd.                                    | Taiwan, Province Of China | CID002516 | Non Conformant                         |
| Gold | Shandong Humon Smelting Co., Ltd.                               | China                     | CID002525 | Outreach Required                      |
| Gold | Al Etihad Gold Refinery DMCC                                    | United Arab Emirates      | CID002560 | Conformant                             |
| Gold | Emirates Gold DMCC  | United Arab Emirates      | CID002561 | Conformant                             |
| Gold | International Precious Metal Refiners                           | United Arab Emirates      | CID002562 | In Communication                       |
| Gold | Kaloti Precious Metals  | United Arab Emirates      | CID002563 | RMI Due Diligence Review               |
| Gold | Sudan Gold Refinery   | Sudan                     | CID002567 | Outreach Required                      |
| Gold | T.C.A S.p.A   | Italy                     | CID002580 | Conformant                             |
| Gold | REMONDIS PMR B.V.   | Netherlands               | CID002582 | Conformant                             |
| Gold | Fujairah Gold FZC   | United Arab Emirates      | CID002584 | Outreach Required                      |
| Gold | Industrial Refining Company                                     | Belgium                   | CID002587 | Non Conformant                         |
| Gold | Shirpur Gold Refinery Ltd.                                      | India                     | CID002588 | Outreach Required                      |
| Gold | Korea Zinc Co., Ltd.  | Korea, Republic Of        | CID002605 | Conformant                             |
| Gold | Marsam Metals   | Brazil                    | CID002606 | Non Conformant                         |
| Gold | TOO Tau-Ken-Altyn   | Kazakhstan                | CID002615 | Conformant                             |
| Gold | Abington Reldan Metals, LLC                                     | United States Of America  | CID002708 | Conformant                             |
| Gold | SAAMP   | France                    | CID002761 | Conformant                             |
| Gold | L'Orfebre S.A.  | Andorra                   | CID002762 | Conformant                             |
| Gold | 8853 S.p.A.   | Italy                     | CID002763 | Non Conformant                         |
| Gold | Italpreziosi  | Italy                     | CID002765 | Conformant                             |
| Gold | WIELAND Edelmetalle GmbH  | Germany                   | CID002778 | Conformant                             |
| Gold | Ogussa Osterreichische Gold- und Silber-<br>Scheideanstalt GmbH | Austria                   | CID002779 | Conformant                             |
| Gold | AU Traders and Refiners   | South Africa              | CID002850 | Non Conformant                         |
| Gold | GGC Gujrat Gold Centre Pvt. Ltd.                                | India                     | CID002852 | Active                                 |
| Gold | Sai Refinery  | India                     | CID002853 | Outreach Required                      |
| Gold | Modeltech Sdn Bhd   | Malaysia                  | CID002857 | Non Conformant                         |
| Gold | Bangalore Refinery  | India                     | CID002863 | Conformant                             |
| Gold | Kyshtym Copper-Electrolytic Plant ZAO                           | Russian Federation        | CID002865 | RMI Due Diligence Review               |
| Gold | Degussa Sonne / Mond Goldhandel GmbH                            | Germany                   | CID002867 | Outreach Required                      |
| Gold | Pease & Curren  | United States Of America  | CID002872 | Communication Suspended Not Interested |
| Gold | JALAN & Company   | India                     | CID002893 | Outreach Required                      |
| Gold | SungEel HiMetal Co., Ltd.                                       | Korea, Republic Of        | CID002918 | Conformant .                           |
|      |   | 9                         |           |  |

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|----------|--|---------------------------|-----------|---|
| Gold     | Planta Recuperadora de Metales SpA                                   | Chile                     | CID002919 | Conformant                                  |
| Gold     | Safimet S.p.A  | Italy                     | CID002973 | Non Conformant                              |
| Gold     | State Research Institute Center for Physical Sciences and Technology | Lithuania                 | CID003153 | Outreach Required                           |
| Gold     | African Gold Refinery  | Uganda                    | CID003185 | RMI Due Diligence Review                    |
| Gold     | Gold Coast Refinery  | Ghana                     | CID003186 | Outreach Required                           |
| Gold     | NH Recytech Company  | Korea, Republic Of        | CID003189 | Conformant                                  |
| Gold     | QG Refining, LLC   | United States Of America  | CID003324 | Outreach Required                           |
| Gold     | Dijllah Gold Refinery FZC  | United Arab Emirates      | CID003348 | Outreach Required                           |
| Gold     | CGR Metalloys Pvt Ltd.   | India                     | CID003382 | Outreach Required                           |
| Gold     | Sovereign Metals   | India                     | CID003383 | Outreach Required                           |
| Gold     | C.I Metales Procesados Industriales SAS                              | Colombia                  | CID003421 | Active                                      |
| Gold     | Eco-System Recycling Co., Ltd. North Plant                           | Japan                     | CID003424 | Conformant                                  |
| Gold     | Eco-System Recycling Co., Ltd. West Plant                            | Japan                     | CID003425 | Conformant                                  |
| Gold     | Kundan Care Products Ltd.  | India                     | CID003463 | In Communication                            |
| Gold     | Super Dragon Technology Co., Ltd.                                    | Taiwan, Province Of China | CID001810 | Outreach Required                           |
| Gold     | Shenzhen Zhonghenglong Real Industry Co., Ltd.                       | China                     | CID002527 | Outreach Required                           |
| Gold     | ABC Refinery Pty Ltd.  | Australia                 | CID002920 | Outreach Required                           |
| Gold     | Augmont Enterprises Private Limited                                  | India                     | CID003461 | Active                                      |
| Gold     | Emerald Jewel Industry India Limited (Unit 1)                        | India                     | CID003487 | In Communication                            |
| Gold     | Emerald Jewel Industry India Limited (Unit 2)                        | India                     | CID003488 | In Communication                            |
| Gold     | Emerald Jewel Industry India Limited (Unit 3)                        | India                     | CID003489 | In Communication                            |
| Gold     | Emerald Jewel Industry India Limited (Unit 4)                        | India                     | CID003490 | In Communication                            |
| Gold     | K.A. Rasmussen   | Norway                    | CID003497 | Outreach Required                           |
| Gold     | Alexy Metals   | United States Of America  | CID003500 | Active                                      |
| Gold     | Sancus ZFS (L'Orfebre, SA)   | Colombia                  | CID003529 | Conformant                                  |
| Gold     | Sellem Industries Ltd.   | Mauritania                | CID003540 | Communication Suspended -<br>Not Interested |
| Gold     | MD Overseas  | India                     | CID003548 | In Communication                            |
| Gold     | Metallix Refining Inc.   | United States Of America  | CID003557 | In Communication                            |
| Gold     | Metal Concentrators SA (Pty) Ltd.                                    | South Africa              | CID003575 | Conformant                                  |
| Gold     | WEEEREFINING   | France                    | CID003615 | Active                                      |
| Gold     | Shenzhen CuiLu Gold Co., Ltd.  | China                     | CID002750 | Outreach Required                           |
| Gold     | Albino Mountinho Lda.  | Portugal                  | CID002760 | Outreach Required                           |
| Gold     | Gold by Gold Colombia  | Colombia                  | CID003641 | Conformant                                  |
| Gold     | Dongwu Gold Group  | China                     | CID003663 | Outreach Required                           |
| Tantalum | Changsha South Tantalum Niobium Co., Ltd.                            | China                     | CID000211 | Conformant                                  |
| Tantalum | F&X Electro-Materials Ltd.   | China                     | CID000460 | Conformant                                  |
| Tantalum | XIMEI RESOURCES (GUANGDONG)<br>LIMITED                               | China                     | CID000616 | Conformant                                  |
|          |  |                           |           |   |

| Tantalum | JiuJiang JinXin Nonferrous Metals Co., Ltd.          | China                            | CID000914 | Conformant               |
|----------|--|----------------------------------|-----------|--------------------------|
| Tantalum | Jiujiang Tanbre Co., Ltd.                            | China                            | CID000917 | Conformant               |
| Tantalum | AMG Brasil   | Brazil                           | CID001076 | Conformant               |
| Tantalum | Metallurgical Products India Pvt., Ltd.              | India                            | CID001163 | Conformant               |
| Tantalum | Mineracao Taboca S.A.                                | Brazil                           | CID001175 | Conformant               |
| Tantalum | Mitsui Mining and Smelting Co., Ltd.                 | Japan                            | CID001192 | Conformant               |
| Tantalum | NPM Silmet AS  | Estonia                          | CID001200 | Conformant               |
| Tantalum | Ningxia Orient Tantalum Industry Co., Ltd.           | China                            | CID001277 | Conformant               |
| Tantalum | QuantumClean   | United States Of America         | CID001508 | Conformant               |
| Tantalum | Yanling Jincheng Tantalum & Niobium Co.,<br>Ltd.     | China                            | CID001522 | Conformant               |
| Tantalum | Solikamsk Magnesium Works OAO                        | Russian Federation               | CID001769 | RMI Due Diligence Review |
| Tantalum | Taki Chemical Co., Ltd.                              | Japan                            | CID001869 | Conformant               |
| Tantalum | Telex Metals   | United States Of America         | CID001891 | Conformant               |
| Tantalum | Ulba Metallurgical Plant JSC                         | Kazakhstan                       | CID001969 | Conformant               |
| Tantalum | Hengyang King Xing Lifeng New Materials<br>Co., Ltd. | China                            | CID002492 | Conformant               |
| Tantalum | D Block Metals, LLC                                  | United States Of America         | CID002504 | Conformant               |
| Tantalum | FIR Metals & Resource Ltd.                           | China                            | CID002505 | Conformant               |
| Tantalum | Jiujiang Zhongao Tantalum & Niobium Co.,<br>Ltd.     | China                            | CID002506 | Conformant               |
| Tantalum | XinXing HaoRong Electronic Material Co.,<br>Ltd.     | China                            | CID002508 | Conformant               |
| Tantalum | Jiangxi Dinghai Tantalum & Niobium Co., Ltd.         | China                            | CID002512 | Conformant               |
| Tantalum | KEMET de Mexico                                      | Mexico                           | CID002539 | Conformant               |
| Tantalum | TANIOBIS Co., Ltd.                                   | Thailand                         | CID002544 | Conformant               |
| Tantalum | TANIOBIS GmbH  | Germany                          | CID002545 | Conformant               |
| Tantalum | Materion Newton Inc.                                 | United States Of America         | CID002548 | Conformant               |
| Tantalum | TANIOBIS Japan Co., Ltd.                             | Japan                            | CID002549 | Conformant               |
| Tantalum | TANIOBIS Smelting GmbH & Co. KG                      | Germany                          | CID002550 | Conformant               |
| Tantalum | Global Advanced Metals Boyertown                     | United States Of America         | CID002557 | Conformant               |
| Tantalum | Global Advanced Metals Aizu                          | Japan                            | CID002558 | Conformant               |
| Tantalum | Resind Industria e Comercio Ltda.                    | Brazil                           | CID002707 | Conformant               |
| Tantalum | Jiangxi Tuohong New Raw Material                     | China                            | CID002842 | Conformant               |
| Tantalum | RFH Yancheng Jinye New Material Technology Co., Ltd. | China                            | CID003583 | Conformant               |
| Tantalum | 5D Production OU                                     | Estonia                          | CID003926 | Outreach Required        |
| Tin      | Chenzhou Yunxiang Mining and Metallurgy Co., Ltd.    | China                            | CID000228 | Conformant               |
| Tin      | Alpha  | United States Of America         | CID000292 | Conformant               |
| Tin      | Dowa   | Japan                            | CID000402 | Conformant               |
| Tin      | EM Vinto   | Bolivia (Plurinational State Of) | CID000438 | Conformant               |
| Tin      | Fenix Metals   | Poland                           | CID000468 | Conformant               |
|          |  |                                  | 2.2000.00 |                          |

| Tin | Gejiu Non-Ferrous Metal Processing Co.,<br>Ltd.  | China                            | CID000538              | Conformant        |
|-----|--|----------------------------------|------------------------|-------------------|
| Tin | China Tin Group Co., Ltd.  | China                            | CID001070              | Conformant        |
| Tin | Malaysia Smelting Corporation (MSC)  | Malaysia                         | CID001070<br>CID001105 | Conformant        |
| Tin | Metallic Resources, Inc.   | United States Of America         | CID001103<br>CID001142 | Conformant        |
| Tin | Mineracao Taboca S.A.  | Brazil                           | CID001142<br>CID001173 | Conformant        |
| Tin | Minsur   | Peru                             | CID001173<br>CID001182 | Conformant        |
| Tin | Mitsubishi Materials Corporation   | Japan                            | CID001182<br>CID001191 | Conformant        |
| Tin | Jiangxi New Nanshan Technology Ltd.  | China                            | CID001191<br>CID001231 | Conformant        |
| Tin | O.M. Manufacturing (Thailand) Co., Ltd.  | Thailand                         | CID001231<br>CID001314 | Conformant        |
| Tin | Operaciones Metalurgicas S.A.  | Bolivia (Plurinational State Of) | CID001314<br>CID001337 | Conformant        |
| Tin | PT Artha Cipta Langgeng  | Indonesia                        | CID001337<br>CID001399 | Conformant        |
| Tin | PT Mitra Stania Prima  | Indonesia                        | CID001399<br>CID001453 | Conformant        |
| Tin | PT Prima Timah Utama   | Indonesia                        | CID001453              | Conformant        |
| Tin | PT Refined Bangka Tin  | Indonesia                        | CID001458<br>CID001460 | Conformant        |
| Tin | PT Reillied Ballgka Till<br>PT Timah Tbk Kundur  | Indonesia                        | CID001460<br>CID001477 | Conformant        |
|     |  |                                  |                        |                   |
| Tin | PT Timah Tbk Mentok  | Indonesia                        | CID001482              | Conformant        |
| Tin | Rui Da Hung  | Taiwan, Province Of China        | CID001539              | Conformant        |
| Tin | Thaisarco  | Thailand                         | CID001898              | Conformant        |
| Tin | White Solder Metalurgia e Mineracao Ltda.  | Brazil                           | CID002036              | Conformant        |
| Tin | Yunnan Chengfeng Non-ferrous Metals Co.,<br>Ltd.   | China                            | CID002158              | Conformant        |
| Tin | Tin Smelting Branch of Yunnan Tin Co., Ltd.  | China                            | CID002180              | Conformant        |
| Tin | PT ATD Makmur Mandiri Jaya   | Indonesia                        | CID002503              | Conformant        |
| Tin | O.M. Manufacturing Philippines, Inc.   | Philippines                      | CID002517              | Conformant        |
| Tin | PT Rajehan Ariq  | Indonesia                        | CID002593              | Conformant        |
| Tin | Aurubis Beerse   | Belgium                          | CID002773              | Conformant        |
| Tin | Aurubis Berango  | Spain                            | CID002774              | Conformant        |
| Tin | PT Menara Cipta Mulia  | Indonesia                        | CID002835              | Conformant        |
| Tin | Guangdong Hanhe Non-Ferrous Metal Co.,<br>Ltd.   | China                            | CID003116              | Conformant        |
| Tin | Tin Technology & Refining  | United States Of America         | CID003325              | Conformant        |
| Tin | Estanho de Rondonia S.A.   | Brazil                           | CID000448              | Conformant        |
| Tin | Gejiu Zili Mining And Metallurgy Co., Ltd.   | China                            | CID000555              | Non Conformant    |
| Tin | Gejiu Kai Meng Industry and Trade LLC  | China                            | CID000942              | Non Conformant    |
| Tin | Gejiu Yunxin Nonferrous Electrolysis Co.,<br>Ltd.  | China                            | CID001908              | Non Conformant    |
| Tin | Magnu's Minerais Metais e Ligas Ltda.  | Brazil                           | CID002468              | Conformant        |
| Tin | Melt Metais e Ligas S.A.   | Brazil                           | CID002500              | Non Conformant    |
| Tin | Electro-Mechanical Facility of the Cao Bang<br>Minerals & Metallurgy Joint Stock Company | Viet Nam                         | CID002572              | Non Conformant    |
| Tin | Nghe Tinh Non-Ferrous Metals Joint Stock Company   | Viet Nam                         | CID002573              | Outreach Required |
| Tin | Tuyen Quang Non-Ferrous Metals Joint<br>Stock Company                                    | Viet Nam                         | CID002574              | Outreach Required |

| Tin      | An Vinh Joint Stock Mineral Processing              | Viet Nam           | CID002703 | Outreach Required        |
|----------|---|--------------------|-----------|--------------------------|
|          | Company   |                    |           | ·                        |
| Tin      | Resind Industria e Comercio Ltda.                   | Brazil             | CID002706 | Conformant               |
| Tin      | Super Ligas   | Brazil             | CID002756 | Active                   |
| Tin      | Modeltech Sdn Bhd                                   | Malaysia           | CID002858 | Non Conformant           |
| Tin      | Chifeng Dajingzi Tin Industry Co., Ltd.             | China              | CID003190 | Conformant               |
| Tin      | Pongpipat Company Limited                           | Myanmar            | CID003208 | Outreach Required        |
| Tin      | Dongguan CiEXPO Environmental Engineering Co., Ltd. | China              | CID003356 | Non Conformant           |
| Tin      | Luna Smelter, Ltd.                                  | Rwanda             | CID003387 | Conformant               |
| Tin      | Yunnan Yunfan Non-ferrous Metals Co., Ltd.          | China              | CID003397 | Non Conformant           |
| Tin      | Precious Minerals and Smelting Limited              | India              | CID003409 | Non Conformant           |
| Tin      | Gejiu City Fuxiang Industry and Trade Co.,<br>Ltd.  | China              | CID003410 | Outreach Required        |
| Tin      | PT Aries Kencana Sejahtera                          | Indonesia          | CID000309 | Conformant               |
| Tin      | PT Premium Tin Indonesia                            | Indonesia          | CID000313 | Conformant               |
| Tin      | PT Babel Inti Perkasa                               | Indonesia          | CID001402 | Conformant               |
| Tin      | PT Babel Surya Alam Lestari                         | Indonesia          | CID001406 | Conformant               |
| Tin      | PT Bukit Timah                                      | Indonesia          | CID001428 | Conformant               |
| Tin      | PT Sariwiguna Binasentosa                           | Indonesia          | CID001463 | Conformant               |
| Tin      | PT Stanindo Inti Perkasa                            | Indonesia          | CID001468 | Conformant               |
| Tin      | PT Tinindo Inter Nusa                               | Indonesia          | CID001490 | Non Conformant           |
| Tin      | PT Tommy Utama                                      | Indonesia          | CID001493 | Conformant               |
| Tin      | PT Tirus Putra Mandiri                              | Indonesia          | CID002478 | In Communication         |
| Tin      | CV Ayi Jaya   | Indonesia          | CID002570 | Conformant               |
| Tin      | PT Sukses Inti Makmur                               | Indonesia          | CID002816 | Conformant               |
| Tin      | PT Bangka Serumpun                                  | Indonesia          | CID003205 | Conformant               |
| Tin      | PT Rajawali Rimba Perkasa                           | Indonesia          | CID003381 | Conformant               |
| Tin      | Novosibirsk Tin Combine                             | Russian Federation | CID001305 | RMI Due Diligence Review |
| Tin      | PT Bangka Tin Industry                              | Indonesia          | CID001303 | In Communication         |
| Tin      | PT Belitung Industri Sejahtera                      | Indonesia          | CID001413 | Active                   |
| Tin      | PT Panca Mega Persada                               | Indonesia          | CID001421 | In Communication         |
| Tin      | PT Timah Nusantara                                  | Indonesia          | CID001486 | Active                   |
| Tin      | VQB Mineral and Trading Group JSC                   | Viet Nam           | CID001400 | Outreach Required        |
| Tin      | CV Venus Inti Perkasa                               | Indonesia          | CID002455 | Conformant               |
| Tin      | PT Cipta Persada Mulia                              | Indonesia          | CID002433 | Conformant               |
| Tin      | PT Bangka Prima Tin                                 | Indonesia          | CID002030 | Conformant               |
| Tin      | PT Mitra Sukses Globalindo                          | Indonesia          | CID002770 | Conformant               |
| 1111     | CRM Fundicao De Metais E Comercio De                | Illuollesia        | CID003449 | Comornant                |
| Tin<br>  | Equipamentos Eletronicos Do Brasil Ltda             | Brazil             | CID003486 | Conformant               |
| Tin      | CRM Synergies                                       | Spain              | CID003524 | Conformant               |
| Tin      | Fabrica Auricchio Industria e Comercio Ltda.        | Brazil             | CID003582 | Conformant               |
| Tin      | PT Putera Sarana Shakti (PT PSS)                    | Indonesia          | CID003868 | Conformant               |
| Tin      | DS Myanmar  | Myanmar            | CID003831 | Conformant               |
| Tungsten | Ganzhou Huaxing Tungsten Products Co.,<br>Ltd.      | China              | CID000875 | Conformant               |
|          |   |                    |           |                          |

| Tungsten | Xiamen Tungsten Co., Ltd.   | China                    | CID002082 | Conformant                                  |
|----------|---|--------------------------|-----------|---|
| Tungsten | Ganzhou Jiangwu Ferrotungsten Co., Ltd.   | China                    | CID002315 | Conformant                                  |
| Tungsten | Moliren Ltd.  | Russian Federation       | CID002845 | RMI Due Diligence Review                    |
| Tungsten | A.L.M.T. Corp.  | Japan                    | CID000004 | Conformant                                  |
| Tungsten | Kennametal Huntsville   | United States Of America | CID000105 | Conformant                                  |
| Tungsten | Guangdong Xianglu Tungsten Co., Ltd.  | China                    | CID000218 | Conformant                                  |
| Tungsten | Chongyi Zhangyuan Tungsten Co., Ltd.  | China                    | CID000258 | Conformant                                  |
| Tungsten | CNMC (Guangxi) PGMA Co., Ltd.   | China                    | CID000281 | Outreach Required                           |
| Tungsten | Global Tungsten & Powders LLC   | United States Of America | CID000568 | Conformant                                  |
| Tungsten | Hunan Chenzhou Mining Co., Ltd.   | China                    | CID000766 | Conformant                                  |
| Tungsten | Hunan Jintai New Material Co., Ltd.   | China                    | CID000769 | Conformant                                  |
| Tungsten | Japan New Metals Co., Ltd.  | Japan                    | CID000825 | Conformant                                  |
| Tungsten | Kennametal Fallon   | United States Of America | CID000966 | Conformant                                  |
| Tungsten | Wolfram Bergbau und Hutten AG   | Austria                  | CID002044 | Conformant                                  |
| Tungsten | Jiangxi Minmetals Gao'an Non-ferrous<br>Metals Co., Ltd.                          | China                    | CID002313 | Communication Suspended -<br>Not Interested |
| Tungsten | Jiangxi Yaosheng Tungsten Co., Ltd.   | China                    | CID002316 | Conformant                                  |
| Tungsten | Jiangxi Xinsheng Tungsten Industry Co., Ltd.                                      | China                    | CID002317 | Conformant                                  |
| Tungsten | Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd.                     | China                    | CID002318 | Conformant                                  |
| Tungsten | Malipo Haiyu Tungsten Co., Ltd.   | China                    | CID002319 | Conformant                                  |
| Tungsten | Xiamen Tungsten (H.C.) Co., Ltd.  | China                    | CID002320 | Conformant                                  |
| Tungsten | Jiangxi Gan Bei Tungsten Co., Ltd.  | China                    | CID002321 | Conformant                                  |
| Tungsten | Ganzhou Seadragon W & Mo Co., Ltd.  | China                    | CID002494 | Conformant                                  |
| Tungsten | Asia Tungsten Products Vietnam Ltd.   | Viet Nam                 | CID002502 | Conformant                                  |
| Tungsten | Hunan Shizhuyuan Nonferrous Metals Co.,<br>Ltd. Chenzhou Tungsten Products Branch | China                    | CID002513 | Conformant                                  |
| Tungsten | H.C. Starck Tungsten GmbH   | Germany                  | CID002541 | Conformant                                  |
| Tungsten | TANIOBIS Smelting GmbH & Co. KG   | Germany                  | CID002542 | Conformant                                  |
| Tungsten | Masan High-Tech Materials   | Viet Nam                 | CID002543 | Conformant                                  |
| Tungsten | Jiangwu H.C. Starck Tungsten Products Co.,<br>Ltd.                                | China                    | CID002551 | Conformant                                  |
| Tungsten | Niagara Refining LLC  | United States Of America | CID002589 | Conformant                                  |
| Tungsten | China Molybdenum Tungsten Co., Ltd.   | China                    | CID002641 | Conformant                                  |
| Tungsten | Ganzhou Haichuang Tungsten Co., Ltd.  | China                    | CID002645 | Conformant                                  |
| Tungsten | Hydrometallurg, JSC   | Russian Federation       | CID002649 | RMI Due Diligence Review                    |
| Tungsten | Unecha Refractory metals plant  | Russian Federation       | CID002724 | Non Conformant                              |
| Tungsten | Philippine Chuangxin Industrial Co., Inc.   | Philippines              | CID002827 | Conformant                                  |
| Tungsten | ACL Metais Eireli   | Brazil                   | CID002833 | Non Conformant                              |
| Tungsten | Fujian Ganmin RareMetal Co., Ltd.   | China                    | CID003401 | Conformant                                  |

| Tungsten | Lianyou Metals Co., Ltd.                                      | Taiwan, Province Of China | CID003407 | Conformant               |
|----------|---|---------------------------|-----------|--------------------------|
| Tungsten | JSC "Kirovgrad Hard Alloys Plant"                             | Russian Federation        | CID003408 | RMI Due Diligence Review |
| Tungsten | NPP Tyazhmetprom LLC  | Russian Federation        | CID003416 | RMI Due Diligence Review |
| Tungsten | Hubei Green Tungsten Co., Ltd.                                | China                     | CID003417 | Conformant               |
| Tungsten | Albasteel Industria e Comercio de Ligas Para<br>Fundicao Ltd. | Brazil                    | CID003427 | Non Conformant           |
| Tungsten | Cronimet Brasil Ltda  | Brazil                    | CID003468 | Conformant               |
| Tungsten | Artek LLC   | Russian Federation        | CID003553 | RMI Due Diligence Review |
| Tungsten | Fujian Xinlu Tungsten Co., Ltd.                               | China                     | CID003609 | Conformant               |
| Tungsten | OOO "Technolom" 2   | Russian Federation        | CID003612 | RMI Due Diligence Review |
| Tungsten | OOO "Technolom" 1   | Russian Federation        | CID003614 | RMI Due Diligence Review |
| Tungsten | LLC Vostok  | Russian Federation        | CID003643 | RMI Due Diligence Review |
| Tungsten | YUDU ANSHENG TUNGSTEN CO., LTD.                               | China                     | CID003662 | Outreach Required        |
| Tungsten | HANNAE FOR T Co., Ltd.  | Korea, Republic Of        | CID003978 | Outreach Required        |
| Tungsten | DONGKUK INDUSTRIES CO., LTD.                                  | Korea, Republic Of        | CID004060 | In Communication         |
| Tungsten | Tungsten Vietnam Joint Stock Company                          | Viet Nam                  | CID003993 | Conformant               |
|          |   |                           |           |                          |

## **Appendix B: Countries of Origin**

Afghanistan **Aland Islands** Albania American Samoa Andorra Angola Argentina Armenia Aruba Australia Austria Azerbaijan Bahamas Barbados Belarus Belgium Benin Bermuda Bolivia (Plurinational State of) Brazil Bulgaria

Burkina Faso

Burundi

Canada

Cambodia

Central African Republic Chile China Colombia Congo Czechia Democratic Republic of Congo Djibouti Dominica Dominican Republic Ecuador Egypt Eritrea Estonia Ethiopia Finland France Georgia Germany Ghana Guam Guatemala Guinea Guyana

Honduras

Hong Kong Hungary India Indonesia Ireland Israel Italy Japan Jersey Kazakhstan Kenya Koréa Kyrgyzstan Liberia Liechtenstein Lithuania Luxembourg Madagascar Malaysia Mali Mauritania Mexico Mongolia

Myanmar Namibia Netherlands New Zealand Nicaragua Niger Nigeria Norway Panama Papua New Guinea Peru Philippines Poland Portugal Russian Federation

Rwanda Samoa Saudi Arabia Senegal Sierra Leone Singapore Slovakia Slovenia South Africa South Sudan Spain Sudan Suriname Sweden Switzerland Taiwan Tajikistan Tanzania Thailand Turkey Uganda

United Arab Emirates **United Kingdom** United States Uzbekistan Viet Nam Zambia Zimbabwe

Morocco

Mozambique