

**2023 Conflict Minerals Report**  
**Avaya LLC**

**Reporting period: January 1, 2023, to December 31, 2023**

Avaya LLC (“Company”) prepared this Conflict Minerals Report (the “Report”) for the reporting period from January 1 to December 31, 2023. The Report provides the information required by the provisions of Rule 13(p)(1) under the Securities Exchange Act of 1934 and the instructions to Form SD which require companies that file reports with the Securities and Exchange Commission (the “SEC”) under Exchange Act Sections 13(a) or 15(d), whether or not the issuer is required to file such reports, to annually disclose the use of conflict minerals originating from “covered countries,” defined as the Democratic Republic of the Congo (the “DRC”) and adjoining countries and not from recycled or scrap sources that are necessary to the functionality or production of a manufactured product. Conflict minerals are identified as columbite-tantalite (coltan), cassiterite, gold, wolframite or their derivatives, or simply tantalum, tin, tungsten and gold (collectively, “Conflict Minerals” or “3TG”).<sup>1</sup> Use of the terms “Avaya” or the “Company” in this Report refers to Avaya LLC and its consolidated subsidiaries taken as a whole, unless the context otherwise indicates. The Report is publicly available on the Company’s website at: <https://www.avaya.com/en/about-avaya/sustainability/>.

The Company has conducted a reasonable country of origin inquiry (“RCOI”) and subsequent due diligence according to the 5-step approach detailed in the Organization for Economic Co-operation and Development (“OECD”) Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas Third Edition (“OECD Guidance”), an internationally recognized due diligence framework, to determine if it knows or has reason to believe that the 3TGs identified in the Company’s products originated from sources in the covered countries. As a downstream user of minerals, the Company contracts the manufacture of products with electronic manufacturing suppliers (“EMS”). Given the Company’s supply chain, including the fact that the Company does not have direct relationships with the mines and/or the smelters or refiners (the “SOR”) providing the minerals, it is challenging to identify all the relevant source mines. As such, the Company relies on industry initiatives (principally, the Responsible Minerals Initiative or “RMI”), manufacturing partners and parts suppliers with whom the Company has direct relationships to determine the source of the 3TGs in the Company’s products. The Company utilizes RCOI data provided by the RMI and relies on audits performed by the RMI to assess the SORs’ conformance to the Responsible Minerals Assurance Process (“RMAP”).

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<sup>1</sup> As a privately held company, effective May 2023, Avaya is no longer required to complete Form SD or prepare or submit a conflict minerals report to the U.S. Securities and Exchange Commission. However, we continue to do so as a best practice.

## Executive Summary of the 2023 Conflict Minerals Program

The Company performed an RCOI on those suppliers that provided the Company with products and parts containing 3TGs which were then sold during the relevant reporting period. Fifty-six (56) of 57 suppliers included in the outreach responded, representing a ninety-eight percent (98%) response rate. Table 1 below defines terminology used in this Report, consistent with the RMI Smelter Database.

Table 1: Definition of Terminologies

Term	Definition	Statistic
Eligible	RMI recognized smelter eligible for RMAP	262
Conformant	Smelter who passed RMI RMAP audit	225
Active	Eligible smelter who is not yet conformant but is working with the RMI to become conformant	37
Not Active	Un-cooperative and not actively working with the RMI. Also includes businesses who are not operational - either temporarily or permanently.	0

The results from the Conflict Minerals Reporting Templates (“CMRT”) returned by the suppliers showed 262 reported, eligible SORs involved in the Company’s supply chain. Of the 262 SORs, 256 could be found on the Smelter Lookup Tab of the CMRT version 6.31. Six SORs were not found on the Smelter Lookup Tab of the CMRT version 6.31 but were found in the RMI RCOI database. These 262 SORs (listed in Appendix A) are either “conformant” (225) or “active” (37). The RMI Smelter Database is a list of possible smelters being tracked by the RMI of the Responsible Business Alliance (“RBA”) and it identifies the status of each of the smelters. RMI uses an independent third-party audit of SOR management systems and sourcing practices to validate smelters' management processes for alignment to the OECD Guidance and RMAP procedures.

The Company cannot be certain about the origin of the conflict minerals used by smelters or entities that are not listed as RMAP-conformant SORs, since their management processes have not been audited per the RMI RMAP. The Company has and will continue to work with suppliers to obtain more information regarding the status of these smelters and entities.

### Company Overview

Avaya, a global leader in customer experience and communications solutions, helps organizations drive business momentum by creating unmatched customer and employee experiences. Avaya delivers innovative open, converged contact center and unified communications and collaboration software solutions to enhance and simplify communications and collaboration in the cloud, whether on-premises or as a hybrid of both. The company also provides hardware and gateway solutions, including a range of business devices such as handsets and video conferencing units that enhance collaboration and productivity, and position organizations to incorporate future technological advancements.

Our experienced team of professionals supports customers with award-winning customer service, delivered by Avaya and its extensive partner ecosystem. Avaya offers a comprehensive range of services designed to meet the needs of its customers spanning across a wide range of industries. This includes technical support and installation services for products and solutions, as well as project-based deployment, design, and

optimization services, enabling customers to evaluate, plan, design, implement, monitor, manage, and optimize complex enterprise communications networks.

The Company sells directly through its worldwide sales force and indirectly through its global network of channel partners, including distributors, service providers, dealers, value-added sellers, system integrators and business partners that provide sales and services support.

The Company outsources the design of some, and the manufacture of substantially all, of its products and solutions.

### **The Company's Conflict Minerals Program Overview**

The Company is committed to ethical business conduct and responsible sourcing and works with its global supply chain partners to ensure compliance with Section 1502 of the Dodd–Frank Wall Street Reform and Consumer Protection Act. The international supply chain for these Conflict Minerals is complex, however, and tracing them is challenging. The Company uses many raw materials that contain conflict minerals, and these materials pass through a variety of intermediaries before reaching the Company. The Company is not a manufacturer and does not purchase directly from the smelters that produce the minerals. Therefore, the Company must rely upon its suppliers to identify the sources of conflict minerals and to declare the conflict-mineral status of their products, as stated in the Company's Responsible Minerals Policy. The Company also uses supplier information from knowledgeable sources within the Company and online to decide on conflict minerals risk and necessary remedial action.

The Company is an affiliate member of the RBA, participates in RBA's RMI committees, including the Plenary, the Due Diligence Practices Team, and the Mineral Reporting Template Team, and utilizes data and results of RMI smelter or refiner audits, which includes cross-recognized audit programs of the London Bullion Market Association ("LBMA") and Responsible Jewelry Council ("RJC"). The Company also relies on guidance published by the RMI as it relates to downstream companies and incorporates the RMI CMRT, as well as the requirements of the Dodd-Frank Wall Street Reform and Consumer Protection Act ("Dodd-Frank"), the OECD Guidance and related supplements for 3TG. The three key elements of the Company's Conflict Minerals Program (the "Program") are:

- I. Determination of Product Applicability
- II. The Reasonable Country of Origin Inquiry ("RCOI")
- III. Due Diligence

#### **I. Determination of Product Applicability**

The Company generates a list of products and parts that (1) were contracted to be manufactured for the Company, (2) were sold by the Company in the reporting year, and (3) include 3TG. Products purchased off the shelf from Original Equipment Manufacturers ("OEMs"), and re-sold or passed through without modification, are excluded as the Company is not the manufacturer of those products. This list of in-scope products and parts is further reviewed by comparing it to the Company's previous year's RCOI results. This list is then provided to a third-party partner to conduct the Company's RCOI. The third-party partner works under close supervision of the Company's Conflict Minerals Program Manager.

The Company outsources the design of some, and the manufacture of all, of its products and solutions. Therefore, the RCOI included the Company's EMS providers, Original Design Manufacturers and the Company controlled suppliers (the "suppliers") of parts and components used in the Company designed hardware products and parts that were sold to customers during the calendar year. Finished products and parts obtained from OEMs where the designs are not influenced by the Company (i.e., products or parts which were purchased and included in the Company's solutions without modification or additional assembly) are excluded from the scope of the RCOI. The Company's products and parts that contain 3TGs not from recycled or scrap sources, which are in scope pursuant to Dodd-Frank requirements, consist of gateways, routers, servers, network infrastructure equipment and endpoints.

## **II. Reasonable Country of Origin Inquiry**

The Company sends all in-scope suppliers a CMRT, along with links to the RMI website which has educational and training materials to facilitate their completion of the CMRT. For this reporting period, 57 suppliers were contacted. The Company also uses the RMI RCOI Database to determine country of origin. Suppliers who do not respond (one (1) supplier did not respond during this reporting period) to the request to complete the CMRT are escalated to the applicable Company Commodity Manager, who reminds them of their contractual obligation to provide this information. The Company leverages information resources of the RMI, publicly available information published by the LBMA and the RJC, as well as the resources of a third-party consultant to analyze the supplier responses. The results of the information review are used to identify those suppliers for which additional information and due diligence is required. The completed CMRTs and results of any assessments are stored electronically.

## **III. The Company's Due Diligence Program (the "DD Program")**

### **i. Design of our Due Diligence Program**

The Company's DD Program was designed in accordance with the OECD five step framework, the international framework currently recognized for compliance with the Dodd-Frank conflict mineral requirements.

#### **OECD Step 1: Establish strong company management systems.**

The Company's policy on conflict minerals will be communicated to suppliers through its Supplier Code of Conduct Document which will be communicated in all supplier contracts. Conformance will be checked through due diligence data gathering using the RMI CMRT format and other RBA/RMI procedures (RMAP), as well as regular scorecard supplier feedback through regular supplier business reviews. Standard Operating Procedures document how these requirements are implemented.

#### **OECD Step 2: Identify and assess risk in the supply chain.**

The Company will evaluate the RCOI information collected using the CMRT, including performing a quality review of the results. Based on the data provided in the RMI RCOI Database, the Company will evaluate whether the SORs in its supply chain have participated in an audit process (RMI, LBMA, RJC, etc.) to demonstrate their compliance with responsible minerals sourcing. The Company will follow a defined escalation process for suppliers that do not respond to the request for CMRT data. Risks will be identified and assessed to establish a response strategy in step 3 below.

**OECD Step 3: Design and implement a strategy to respond to identified risks.**

The company will participate in industry efforts led by the RMI to conduct outreach to SORs that are not yet active in RMAP to encourage them to participate in the program and undergo a third-party audit. The Company will report findings of the supply chain risk assessment to the designated senior management of the company.

**OECD Step 4: Carry out independent third-party audit of supply chain due diligence at identified points in the supply chain.**

The Company will support and participate in RMI programs such as the RMAP process to identify high risk SORs. RMI resources are funded by RMI members like Avaya to perform SOR audits and encourage the risky SORs to participate. The Avaya Conflict Minerals Working Group will provide to buyers the names of SORs that are risky and non-cooperating. When necessary, buyers will put SORs on suspension or dis-engage.

**OECD Step 5: Report on supply chain due diligence.** The Company will prepare a Conflict Minerals Report (CMR) in accordance with the Dodd/Frank Act and the SEC Rule. This CMR will be posted on the Company's website.

**ii. Due Diligence Measures Performed**

**OECD Step 1: Establish strong company management systems.**

Consistent with its environmental, health and safety (EHS) management system, the Company has implemented a 'Plan-Do-Check-Act' approach for its Conflict Minerals processes. Specifically,

- The Company communicates its Responsible Minerals Policy (the "Policy") to suppliers during the RCOI process. In addition, the Policy is communicated to its supply chain partners and stakeholders via its website and referenced in all new RFPs, contracts, and contract revisions with direct material suppliers. The Policy sets the expectation, among other things, that direct material suppliers will "...source minerals [sic 3TG] from non-conflict regions or, if sourced from conflict regions, ... verify that the sourcing is conflict-free (i.e., not used to fund conflicts in [c]overed [c]ountries) through a reasonable due diligence program."
- The Company also relies on the fact that Suppliers have an obligation to comply with our Supplier Code of Conduct which includes expectations regarding the responsible sourcing of minerals.
- The Company developed Standard Operating Procedures that, with the Responsible Minerals Policy, define the Company's process for conducting the DD Program. Responsibilities rest with a cross-functional team of subject matter experts from Supply Chain Management, Product Compliance, Product Engineering, Research and Development, and the Environmental and Legal functions of the Company. Product Compliance and EHS lead the team and provide periodic updates to senior management.
- The Company is an affiliate member of the RBA and participates in RMI to leverage best practices from other member companies, and identify and implement DD Program improvements, including greater supply chain and customer transparency.

- Controls are in place to manage and retain from year to year the documentation associated with each RCOI and related due diligence activities.
- The Company partners with suppliers to identify the sources of Conflict Minerals in the products and parts that they provide to the Company, as indicated in the RCOI results. Suppliers are engaged through periodic business reviews to discuss compliance requirements. If significant risks, such as non-conformant smelters, are identified through the DD Program or other means, the Company retains the right to suspend trade with, or disengage from, a supplier.
- The Company uses the RMI's published Guides and Guidance to instruct suppliers on how to perform their own due diligence and how to fill out the CMRT form. The supplier is referred to the RMI website to access these materials.
- To resolve grievances that suppliers or SORs may have, the Company uses the publicly available RMI Grievance Mechanism. Suppliers are informed of this Grievance Mechanism in the Company's Conflict Minerals Supplier Training. The Grievance Mechanism may be used for complaints against the Company, the RMI, the RMI RMAP or auditors used by the RMI, or for other grievances related to Conflict Minerals. The grievances, including corrective actions, are tracked, and monitored by the RMI. The following is a link to the Grievance Mechanism: [Grievance Mechanism \(responsiblemineralsinitiative.org\)](https://responsiblemineralsinitiative.org)

**OECD Step 2: Identify and assess risk in the supply chain.**

The Company uses the RCOI analysis results to identify suppliers using SORs that are not engaged in an approved validation scheme (e.g., RMAP, LBMA and the RJC) and to assess related supply chain risks. The Company's full SOR table is included in Appendix A, and the Country-of-Origin results are shown in Table 2 below.

The Company evaluates the RCOI information collected using the CMRT, including performing a quality review of the results. If discrepancies, errors, or omissions are identified, the response for that supplier is deemed unacceptable and is returned to the supplier for correction. Approximately 93% of the CMRTs collected for 2023 were acceptable as received or successfully corrected by the supplier and accepted by the Company. Those suppliers (7%) who did not make the corrections requested by the Company were escalated internally in the supply chain organization. The Company reviewed and compared the responses with other information in the Company's possession (in-house experts, etc.) and, where appropriate, made further inquiries of the relevant suppliers. Suppliers' failure to respond is captured in the internal periodic supplier evaluation.

The Company follows a defined escalation process for suppliers that do not respond to the request for CMRT data. All in-scope suppliers receive an initial CMRT request email. Those that do not timely respond receive a first reminder, second reminder, final reminder, and escalation emails as necessary. Internal Company buyers are identified for each supplier. Any supplier not responding to the emails is flagged to the Company buyer for further action. The Conflict Minerals Program Team meets regularly to review data collection efforts, engaging Internal Company buyers as necessary to determine next steps, including, where appropriate, providing negative feedback to suppliers and recommending potential contract termination.

Based on a review of the data collected, those suppliers / SORs deemed to pose a risk to the Company's supply chain were addressed in Step 3 below.

**OECD Step 3: Design and implement a strategy to respond to identified risks.**

To address the risks in the Company's supply chain posed by the use of RMAP non-conformant SORs, the Company remains actively involved in the RBA and RMI, including participation in RMI committees such as the Plenary Team, Due Diligence Practices Team, and Minerals Reporting Template Team. Participation in these RMI efforts gives the Company access to the RMI smelter auditing efforts, thereby providing the Company with information to assess supply chain risk from conflict minerals. The company participates in industry efforts led by the RMI to conduct outreach to SORs that are not yet active in RMAP and to encourage them to participate in the program and undergo a third-party audit. The Company requires its supply chain partners to address reported non-conformant smelters, including dis-engagement or suspension, if necessary, although the Company did not find it necessary to exercise dis-engagement or suspension in 2023. The Company also works with supply chain partners to resolve smelters' resistance or refusal to participate in either the RMAP list program or other approved schemes.

**OECD Step 4: Carry out independent third-party audit of supply chain due diligence at identified points in the supply chain.**

As a downstream user of 3TG minerals and a member of the RMI, the Company leverages information from the independent third-party audits of the SORs facilitated by initiatives such as the RMI's RMAP, LBMA and the RJC to evaluate the SORs' practices. Over time, this effort has resulted in increasing the number of SORs in the Company's supply chain that are RMAP-conformant. The Company actively participates in RMI activities, including involvement in sub-committees and contributing possible SOR names, to support efforts to assess each SOR's alignment to the OECD Guidance via the RMAP.

**OECD Step 5: Report on supply chain due diligence.**

The Company prepares an annual report documenting its Supply Chain Due Diligence Practice activities in accordance with the Dodd-Frank requirements (<https://www.avaya.com/en/about-avaya/sustainability/>). Participation in the RMI CMR Peer Review resulted in valuable feedback which was incorporated as appropriate in the Company's Conflict Mineral Report.

**Reporting Period Due Diligence Results**

**Efforts to Determine Conflict Minerals Country of Origin and Facilities used to Process Conflict Minerals**

The Company's RCOI process and due diligence to determine the source of 3TGs in the Company's products is based on data collection and partnership with suppliers. The Company queried 57 suppliers for the 2023 RCOI reporting period, of which 56 responded. The one that did not respond was reported to the Company's Supply Chain / Procurement team and their lack of response was considered in assessing their supply chain risk. Although business with this company was not terminated, they were given negative feedback through their supplier scorecard. For those that did respond, 262 unique SORs were identified as processing 3TGs used in the parts and/or components contained in the Company's products. The Company has verified that 225 (86 %) of the SORs are RMAP-conformant SORs, which is higher than the 81% in RY2022. All thirty-seven (37) (100%) of the nonconformant SORs are making progress toward

conformance based on information received from the RMI SOR database, an improvement over 2022, when only 92% of the nonconformant SORs were making progress toward conformance. Zero SORs are in the Not Active status, which is an improvement from 2022 when there were 4 SORs in the Not Active status.

The Company requested company level CMRTs from its suppliers and most of the responses received were provided at the company level, rather than specific to the product sold to the Company. Some of the suppliers reported that they were unable to obtain a complete list of their smelters, making it impossible to determine the complete list of smelters in the Company's supply chain. Although the Company contacted these suppliers to obtain more complete SOR lists, the effort was ultimately unsuccessful. In addition, several SORs identified by the suppliers were not listed on the RMI, LBMA or RJC conformant SORs' lists. Nor could they be confirmed through the Company's due diligence as actual SORs. As a result, the Company cannot determine its conflict-free status (as defined by Dodd-Frank) at either a product or company level because it cannot confirm that the SORs identified provide a complete picture of Conflict Minerals sourcing. Of the information that was verified, the chart below lists the country of origin for the 3TG minerals in the Company's products.



**Table 2: Country of Origin Results for 3TGs in the Company's Products**

Conflict Mineral	Country of Origin	Notes
Gold	Andorra, Antigua and Barbuda, Argentina, Armenia, Australia, Austria, Azerbaijan, Bahamas, Barbados, Belgium, Benin, Bolivia (Plurinational State of), Botswana, Brazil, Bulgaria, Burkina Faso, Canada, Cayman Islands, Chile, China, Colombia, Costa Rica, Cote d'Ivoire, Cuba, Curacao, Cyprus, Czechia, Denmark, Dominican Republic, Ecuador, Eritrea, Ethiopia, Finland, French Guiana, Georgia, Ghana, Guinea**, Guyana**, Honduras, Japan, Mexico**, Mozambique, Niger, Peru**, Philippines, Russian Federation, Rwanda, Sierra Leone, South Africa, South Korea, Swaziland, Sweden, Tanzania, Uganda, United States of America, Vietnam	
Tantalum	Australia, Austria, Belarus, Bolivia, Brazil, Burundi, Canada, China, Colombia, Congo, Democratic Republic of the, Czechia, Estonia, Ethiopia, France, Germany, Hong Kong, India, Indonesia, Ireland, Israel, Japan, Kazakhstan, Madagascar, Malaysia, Mexico, Mozambique, Myanmar, Namibia, Netherlands, Nigeria, Russian Federation, Rwanda, Sierra Leone, South Korea, Spain, Switzerland, Taiwan, Thailand, Uganda, United Kingdom of Great Britain and Northern Ireland, United States of America, Zimbabwe	The reported tantalum from the DRC and other covered countries came from the following 22 smelters (CID002504, CID000460, CID002505, CID002558, CID002557, CID002842, CID000914, CID000917, CID002506, CID002539, CID002548, CID001277, CID002544, CID002545, CID002549, CID002550, CID001891, CID000616, CID001969, CID002492, CID001192, CID00405 ) which have been audited and validated as "conformant" by the Responsible Mineral Initiative ("RMI"), which is internationally recognized for managing an independent third-party assessment program in line with the OECD Guidance.

**Table 2: Country of Origin Results for 3TGs in the Company's Products**

Conflict Mineral	Country of Origin	Notes
Tin	<p>Angola, Argentina, Australia, Austria, Bangladesh, Belarus, Belgium, Benin, Bolivia, Bolivia (Plurinational State of), Brazil, Bulgaria, Burundi, Canada, Chile, China, Colombia, Congo, Democratic Republic of the, Croatia, Cyprus, Czechia, Denmark, Egypt, El Salvador, Estonia, Finland, France, Gabon, Germany, Ghana, Greece, Guernsey, Guinea, Hong Kong, Hungary, India, Indonesia, Ireland, Israel, Italy, Japan, Jordan, Kazakhstan, Laos, Latvia, Lebanon, Libya, Lithuania, Luxembourg, Malaysia, Malta, Mexico, Mongolia, Morocco, Myanmar, Netherlands, New Zealand, Nigeria, Norway, Pakistan, Peru, Philippines, Poland, Portugal, Puerto Rico, Qatar, Romania, Russia, Russian Federation, Rwanda, Saudi Arabia, Senegal, Serbia, Singapore, Slovakia, Slovenia, South Africa, South Korea, Spain, Sudan, Sweden, Switzerland, Taiwan, Tanzania, Thailand, Togo, Tunisia, Turkey, Uganda, Ukraine, United Arab Emirates, United States of America, United Kingdom, United Kingdom of Great Britain and Northern Ireland, Uruguay, USA, Venezuela, Vietnam, Virgin Islands, Yemen</p>	<p>The reported tin from the DRC and other covered countries came from the following 9 smelters (CID000292, CID002773, CID002180, CID00110, CID001898, CID003831, CID004065, CID002036, CID003387) all of which have been audited and validated as "compliant" by the RMI, which is internationally recognized for managing an independent third-party assessment program in line with the OECD Guidance.*</p>
Tungsten	<p>Australia, Austria, Belgium, Bolivia, Brazil, Burundi, Canada, China, Colombia, Congo, Democratic Republic of the, Czechia, France, Germany, Hong Kong, Ireland, Israel, Japan, Kazakhstan, Krygyzstan, Latvia, Malaysia, Mexico, Mongolia, Myanmar, Nigeria, Peru, Philippines, Portugal, Russia, Russian Federation, Rwanda, Singapore, South Korea, Spain, Taiwan, Thailand, Uganda, United Arab Emirates, United Kingdom of Great Britain and Northern Ireland, United States of America, Uzbekistan, Vietnam, Zimbabwe</p>	<p>The reported tungsten from the DRC came from the following smelter (CID000004) which has been audited and validated as "conformant" by the RMI, which is internationally recognized for managing an independent third-party assessment program in line with the OECD Guidance.*</p>

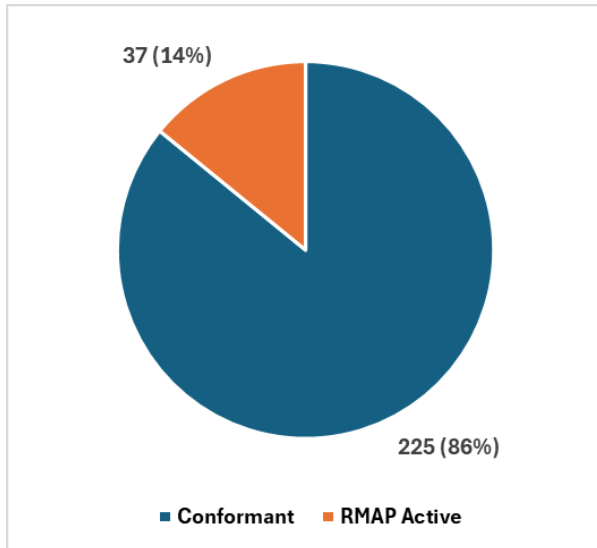
**\*Note:** SORs who receive minerals from the DRC and adjoining countries, i.e., covered countries, can still be declared conformant to the RMAP process.

The 262 SORs identified by the Company's in-scope suppliers, the minerals processed, and their classification regarding the RMAP list, the LBMA and the RJC, are provided in the table included as Appendix A to this Report.

A graphical depiction of the 2023 RCOI and due diligence results is provided in Figure 1 as compared to the 2022 results in Figure 2. The validation classifications of the SORs reported in the graphs (Figures 1 and 2) are defined as follows:

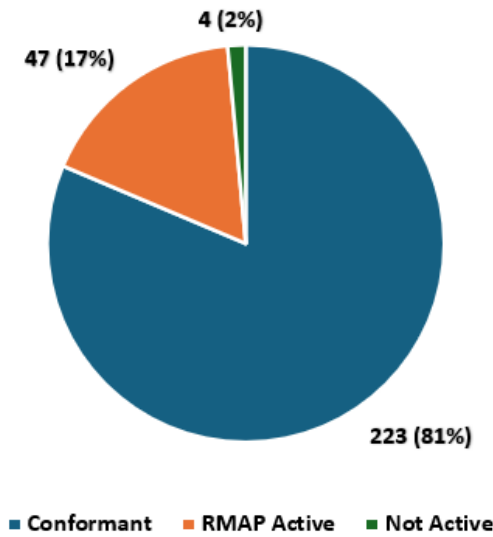
- Conformant - These are RMAP-conformant SORs, having passed the RMI RMAP audit.
- RMAP Active - These are smelters that have committed to undergoing a RMAP audit or preparing for an audit.
- Not Active - These are smelters that are neither Conformant nor RMAP Active.

Figure 1: 2023 Results



Mineral	Gold	Tantalum	Tin	Tungsten	Total
Conformant	90	35	68	32	225
RMAP Active	22	1	11	3	37
Not Active	0	0	0	0	0
Total	112	36	79	35	262

Figure 2: 2022 Results



Mineral	Gold	Tantalum	Tin	Tungsten	Total
Conformant	92	34	60	37	223
RMAP Active	23	1	14	9	47
Not Active	1	2	1	0	4
<b>Total</b>	<b>116</b>	<b>37</b>	<b>75</b>	<b>46</b>	<b>274</b>

**Ongoing Actions to Mitigate Conflict Minerals Sourcing Risk**

To help mitigate the risk of potentially sourcing conflict minerals from suppliers who do not have OECD aligned due diligence measures in place, the Company will:

- Initiate the RCOI process by December of the calendar year to allow adequate time for supplier engagement and due diligence.
- Continue to require completion of the CMRT in applicable Requests for Quote (“RFQ”) and from applicable new suppliers upon award of contract (if not provided as part of an RFQ).
- Identify suppliers that may, based on past performance, need additional due diligence in the future.
- Provide suppliers with links to training materials on due diligence and how to fill out the CMRT form. Provide one-on-one guidance and support, as necessary.

For those SORs that cannot be verified as SORs using the RMI SOR Database, the Company will:

- Ask suppliers to identify the true SOR or provide proof that the listed SOR is a SOR.
- Send a list of the un-recognized SORs to the RMI for evaluation and possible action.

In addition, for those SORs who are in the RMI SOR Database but who refuse to cooperate with the RMI RMAP, the Company will:

- Ask the supplier to contact the SOR and encourage the SOR to pursue RMAP conformance auditing.

### **Forward-Looking Statements**

This report contains certain “forward-looking statements” within the meaning of the Private Securities Litigation Reform Act of 1995 (the “PSLRA”). Generally, words such as “anticipate,” “estimate,” “expect,” “could,” “intend,” “believe,” “plan,” “target,” “forecast” and similar expressions or the negative thereof are intended to identify forward-looking statements. Such forward-looking statements reflect management’s current expectations, strategic objectives, business prospects, anticipated economic performance and financial condition and other similar matters. Forward-looking statements are inherently uncertain and subject to a variety of assumptions, risks and uncertainties that could cause actual results to differ materially from those anticipated or expected by the management of the Company. These statements are not guarantees of future performance and actual events or results may differ significantly from these statements. Actual events or results are subject to significant known and unknown risks, uncertainties and other factors, many of which are beyond the Company’s control. It should be understood that it is not possible to predict or identify all such factors. Given these risks, investors and analysts should not place undue reliance on forward-looking statements. Forward-looking statements speak only as of the date of the document in which they are made. The Company disclaims any obligation or undertaking to provide any updates or revisions to any forward-looking statement as a result of new information, future events or otherwise, except as required by law. These statements constitute the Company’s cautionary statements under the PSLRA.

## APPENDIX A

**List of Reported Smelters/Refiners Facilities Processing Minerals Used in the Company's Products as Confirmed by the Responsible Minerals Initiative (RMI) Lists**

Number	Metal	Smelter Name	Smelter Id	Remarks
1	Gold	8853 S.p.A	CID002763	Active
2	Gold	Abington Reldan Metals, LLC	CID002708	Conformant
3	Gold	Advanced Chemical Company	CID000015	Active
4	Gold	Agosi AG	CID000035	Conformant
5	Gold	Aida Chemical Industries Co., Ltd.	CID000019	Conformant
6	Gold	Alexy Metals	CID003500	Active
7	Gold	Almalyk Mining and Metallurgical Complex (AMMC)	CID000041	Conformant
8	Gold	AngloGold Ashanti Corrego do Sitio Mineracao	CID000058	Conformant
9	Gold	Argor-Heraeus S.A	CID000077	Conformant
10	Gold	Asahi Pretec Corp.	CID000082	Conformant
11	Gold	Asahi Refining Canada Ltd.	CID000924	Conformant
12	Gold	Asahi Refining USA Inc.	CID000920	Conformant
13	Gold	Asaka Riken Co., Ltd.	CID000090	Conformant
14	Gold	Augmont Enterprises Private Limited	CID003461	Active
15	Gold	Aurubis AG	CID000113	Conformant
16	Gold	Bangalore Refinery	CID002863	Active
17	Gold	Bangko Sentral ng Pilipinas (Central Bank of the Philippines)	CID000128	Conformant
18	Gold	Boliden Ronnskar	CID000157	Conformant
19	Gold	C. Hafner GmbH + Co. KG	CID000176	Conformant
20	Gold	CCR Refinery - Glencore Canada Corporation	CID000185	Conformant
21	Gold	Cendres + Metaux S.A	CID000189	Active
22	Gold	Chimet S.p.A	CID000233	Conformant
23	Gold	Shandong Gold Smelting Co., Ltd.	CID001916	Conformant
24	Gold	Chugai Mining	CID000264	Conformant

## APPENDIX A

25	Gold	Coimpa Industrial LTDA	CID004010	Conformant
26	Gold	Dowa	CID000401	Conformant
27	Gold	DSC (Do Sung Corporation)	CID000359	Conformant
28	Gold	Eco-System Recycling Co., Ltd. East Plant	CID000425	Conformant
29	Gold	Eco-System Recycling Co., Ltd. North Plant	CID003424	Conformant
30	Gold	Eco-System Recycling Co., Ltd. West Plant	CID003425	Conformant
31	Gold	Emirates Gold DMCC	CID002561	Active
32	Gold	Gold Refinery of Zijin Mining Group Co., Ltd.	CID002243	Conformant
33	Gold	GGC Gujrat Gold Centre Pvt. Ltd.	CID002852	Active
34	Gold	Gold by Gold Colombia	CID003641	Conformant
35	Gold	Heimerle + Meule GmbH	CID000694	Conformant
36	Gold	Heraeus Germany GmbH Co. KG	CID000711	Conformant
37	Gold	Heraeus Metals Hong Kong Ltd.	CID000707	Conformant
38	Gold	Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd.	CID000801	Conformant
39	Gold	Ishifuku Metal Industry Co., Ltd.	CID000807	Conformant
40	Gold	Istanbul Gold Refinery	CID000814	Conformant
41	Gold	Italpreziosi	CID002765	Conformant
42	Gold	Japan Mint	CID000823	Conformant
43	Gold	Jiangxi Copper Co., Ltd.	CID000855	Conformant
44	Gold	JSC Uralelectromed	CID000929	Active
45	Gold	JXNippon Mining & Metals Co., Ltd.	CID000937	Conformant
46	Gold	Kazzinc	CID000957	Conformant
47	Gold	Kennecott Utah Copper LLC	CID000969	Conformant
48	Gold	KGHMPolska Miedz Spolka Akcyjna	CID002511	Conformant
49	Gold	Kojima Chemicals Co., Ltd.	CID000981	Conformant
50	Gold	Korea Zinc Co., Ltd.	CID002605	Conformant
51	Gold	L'Orfebre S.A	CID002762	Conformant
52	Gold	LS MnM Inc.	CID001078	Conformant
53	Gold	LTMetal Ltd.	CID000689	Conformant

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54	Gold	Materion	CID001113	Conformant
55	Gold	Matsuda Sangyo Co., Ltd.	CID001119	Conformant
56	Gold	Metal Concentrators SA(Pty) Ltd.	CID003575	Conformant
57	Gold	Metalor Technologies (Hong Kong) Ltd.	CID001149	Conformant
58	Gold	Metalor Technologies (Singapore) Pte., Ltd.	CID001152	Conformant
59	Gold	Metalor Technologies (Suzhou) Ltd.	CID001147	Conformant
60	Gold	Metalor Technologies S.A	CID001153	Conformant
61	Gold	Metalor USA Refining Corporation	CID001157	Conformant
62	Gold	Metalurgica Met-Mex Penoles S.A De C.V.	CID001161	Conformant
63	Gold	Mitsubishi Materials Corporation	CID001188	Conformant
64	Gold	Mitsui Mining and Smelting Co., Ltd.	CID001193	Conformant
65	Gold	MKS PAMP SA	CID001352	Conformant
66	Gold	MMIC-PAMP India Pvt., Ltd.	CID002509	Conformant
67	Gold	Moscow Special Alloys Processing Plant	CID001204	Active
68	Gold	Nadir Metal Rafineri San. Ve Tic. AS.	CID001220	Conformant
69	Gold	Navoi Mining and Metallurgical Combinat	CID001236	Conformant
70	Gold	NH Recytech Company	CID003189	Conformant
71	Gold	Nihon Material Co., Ltd.	CID001259	Conformant
72	Gold	Ogussa Osterreichische Gold- und Silber-Scheideanstalt GmbH	CID002779	Conformant
73	Gold	Ohura Precious Metal Industry Co., Ltd.	CID001325	Conformant
74	Gold	OJSC "The Gulidov Krasnoyarsk Non-Ferrous Metals Plant" (OJSC Krastsvetmet)	CID001326	Active
75	Gold	Planta Recuperadora de Metales SpA	CID002919	Conformant
76	Gold	Prioksky Plant of Non-Ferrous Metals	CID001386	Active
77	Gold	PT Aneka Tambang (Persero) Tbk	CID001397	Conformant
78	Gold	PX Precinox S.A	CID001498	Conformant
79	Gold	Rand Refinery (Pty) Ltd.	CID001512	Conformant
80	Gold	REMONDIS PMR B.V.	CID002582	Conformant
81	Gold	Royal Canadian Mint	CID001534	Conformant
82	Gold	SAAMP	CID002761	Active



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83	Gold	Safimet S.p.A	CID002973	Active
84	Gold	SAFINA A.S.	CID002290	Conformant
85	Gold	Samduck Precious Metals	CID001555	Active
86	Gold	SEMPSA Joyeria Plateria S.A	CID001585	Conformant
87	Gold	Shandong Zhaojin Gold & Silver Refinery Co., Ltd.	CID001622	Conformant
88	Gold	Sichuan Tianze Precious Metals Co., Ltd.	CID001736	Conformant
89	Gold	Solar Applied Materials Technology Corp.	CID001761	Conformant
90	Gold	Sumitomo Metal Mining Co., Ltd.	CID001798	Conformant
91	Gold	SungEel HiMetal Co., Ltd.	CID002918	Conformant
92	Gold	T.C.A.S.p.A	CID002580	Conformant
93	Gold	Tanaka Kikinzoku Kogyo KK	CID001875	Conformant
94	Gold	Tokuriki Honten Co., Ltd.	CID001938	Conformant
95	Gold	TOO Tau-Ken-Altyn	CID002615	Conformant
96	Gold	Torecom	CID001955	Conformant
97	Gold	Umicore Precious Metals Thailand	CID002314	Active
98	Gold	Umicore S.A Business Unit Precious Metals Refining	CID001980	Conformant
99	Gold	United Precious Metal Refining, Inc.	CID001993	Conformant
100	Gold	Valcambi S.A	CID002003	Conformant
101	Gold	WEEEREFINING	CID003615	Conformant
102	Gold	Western Australian Mint (T/a The Perth Mint)	CID002030	Conformant
103	Gold	WIELAND Edelmetalle GmbH	CID002778	Conformant
104	Gold	Yamakin Co., Ltd.	CID002100	Conformant
105	Gold	Yokohama Metal Co., Ltd.	CID002129	Conformant
106	Gold	Zhongyuan Gold Smelter of Zhongjin Gold Corporation	CID002224	Conformant
107	Gold	Daye Non-Ferrous Metals Mining Ltd.	CID000343	Active
108	Gold	Tongling Nonferrous Metals Group Co., Ltd.	CID001947	Active
109	Gold	Guangdong Jinding Gold Limited	CID002312	Active
110	Gold	Singway Technology Co., Ltd.	CID002516	Active
111	Gold	Al Etihad Gold Refinery DMCC	CID002560	Active

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112	Gold	ABC Refinery Pty Ltd.	CID002920	Active
113	Tantalum	D Block Metals, LLC	CID002504	Conformant
114	Tantalum	F&X Electro-Materials Ltd.	CID000460	Conformant
115	Tantalum	FIR Metals & Resource Ltd.	CID002505	Conformant
116	Tantalum	Global Advanced Metals Aizu	CID002558	Conformant
117	Tantalum	Global Advanced Metals Boyertown	CID002557	Conformant
118	Tantalum	Jiangxi Tuohong New Raw Material	CID002842	Conformant
119	Tantalum	Jiujiang JinXin Nonferrous Metals Co., Ltd.	CID000914	Conformant
120	Tantalum	Jiujiang Tanbre Co., Ltd.	CID000917	Conformant
121	Tantalum	Jiujiang Zhongao Tantalum & Niobium Co., Ltd.	CID002506	Conformant
122	Tantalum	KEMET de Mexico	CID002539	Conformant
123	Tantalum	Materion Newton Inc.	CID002548	Conformant
124	Tantalum	Ningxia Orient Tantalum Industry Co., Ltd.	CID001277	Conformant
125	Tantalum	TANIOBIS Co., Ltd.	CID002544	Conformant
126	Tantalum	TANIOBIS GmbH	CID002545	Conformant
127	Tantalum	TANIOBIS Japan Co., Ltd.	CID002549	Conformant
128	Tantalum	TANIOBIS Smelting GmbH & Co. KG	CID002550	Conformant
129	Tantalum	Telex Metals	CID001891	Conformant
130	Tantalum	XIMEI RESOURCES (GUANGDONG) LIMITED	CID000616	Conformant
131	Tantalum	Ulba Metallurgical Plant JSC	CID001969	Conformant
132	Tantalum	Hengyang King Xing Lifeng New Materials Co., Ltd.	CID002492	Conformant
133	Tantalum	Mitsui Mining and Smelting Co., Ltd.	CID001192	Conformant
134	Tantalum	PowerX Ltd.	CID004054	Conformant
135	Tantalum	AMG Brasil	CID001076	Conformant
136	Tantalum	Changsha South Tantalum Niobium Co., Ltd.	CID000211	Conformant
137	Tantalum	Guangdong Rising Rare Metals-EO Materials Ltd. <sup>2</sup>	CID000291	Active
138	Tantalum	Jiangxi Dinghai Tantalum & Niobium Co., Ltd.	CID002512	Conformant
139	Tantalum	Jiujiang Janny New Material Co., Ltd. <sup>2</sup>	CID003191	Conformant

<sup>2</sup> Found in the RMI RCOI database but not listed in CMRT Smelter List v6.31

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140	Tantalum	Metallurgical Products India Pvt., Ltd.	CID001163	Conformant
141	Tantalum	Mineracao Taboca S.A	CID001175	Conformant
142	Tantalum	NPMSilmet AS	CID001200	Conformant
143	Tantalum	QuantumClean	CID001508	Conformant
144	Tantalum	Resind Industria e Comercio Ltda.	CID002707	Conformant
145	Tantalum	RFH Yancheng Jinye New Material Technology Co., Ltd.	CID003583	Conformant
146	Tantalum	Taki Chemical Co., Ltd.	CID001869	Conformant
147	Tantalum	XinXing HaoRong Electronic Material Co., Ltd.	CID002508	Conformant
148	Tantalum	Yanling Jincheng Tantalum & Niobium Co., Ltd.	CID001522	Conformant
149	Tin	Alpha	CID000292	Conformant
150	Tin	Aurubis Beerse	CID002773	Conformant
151	Tin	Tin Smelting Branch of Yunnan Tin Co., Ltd.	CID002180	Conformant
152	Tin	Malaysia Smelting Corporation (MSC)	CID001105	Conformant
153	Tin	Thaisarco	CID001898	Conformant
154	Tin	DS Myanmar	CID003831	Conformant
155	Tin	Mining Minerals Resources SARL	CID004065	Conformant
156	Tin	White Solder Metalurgia e Mineracao Ltda.	CID002036	Conformant
157	Tin	Luna Smelter, Ltd.	CID003387	Conformant
158	Tin	Aurubis Berango	CID002774	Conformant
159	Tin	Chenzhou Yunxiang Mining and Metallurgy Co., Ltd.	CID000228	Conformant
160	Tin	Chifeng Dajingzi Tin Industry Co., Ltd.	CID003190	Conformant
161	Tin	China Tin Group Co., Ltd.	CID001070	Conformant
162	Tin	CRMFundicao De Metais E Comercio De Equipamentos Electronicos Do Brasil Ltda	CID003486	Conformant
163	Tin	CRMSynergies	CID003524	Conformant
164	Tin	CV Ayi Jaya	CID002570	Conformant
165	Tin	CV Venus Inti Perkasa	CID002455	Conformant
166	Tin	Dowa	CID000402	Conformant
167	Tin	EM Vinto	CID000438	Conformant
168	Tin	Estanho de Rondonia S.A	CID000448	Conformant

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169	Tin	Fabrica Aurichio Industria e Comercio Ltda.	CID003582	Conformant
170	Tin	Fenix Metals	CID000468	Conformant
171	Tin	Gejiu Non-Ferrous Metal Processing Co., Ltd.	CID000538	Conformant
172	Tin	Guangdong Hanhe Non-Ferrous Metal Co., Ltd.	CID003116	Conformant
173	Tin	HuiChang Hill Tin Industry Co., Ltd. <sup>2</sup>	CID002844	Conformant
174	Tin	Jiangxi New Nanshan Technology Ltd.	CID001231	Conformant
175	Tin	Ma'anshan Weitai Tin Co., Ltd. <sup>2</sup>	CID003379	Active
176	Tin	Magnu's Minerais Metais e Ligas Ltda.	CID002468	Conformant
177	Tin	Metallic Resources, Inc.	CID001142	Conformant
178	Tin	Mineracao Taboca S.A	CID001173	Conformant
179	Tin	Minsur	CID001182	Conformant
180	Tin	Mitsubishi Materials Corporation	CID001191	Conformant
181	Tin	O.M Manufacturing (Thailand) Co., Ltd.	CID001314	Conformant
182	Tin	O.M Manufacturing Philippines, Inc.	CID002517	Conformant
183	Tin	Operaciones Metalurgicas S.A	CID001337	Conformant
184	Tin	Precious Minerals and Smelting Limited	CID003409	Active
185	Tin	PT Aries Kencana Sejahtera	CID000309	Conformant
186	Tin	PT Artha Cipta Langgeng	CID001399	Conformant
187	Tin	PT AID Makmur Mandiri Jaya	CID002503	Conformant
188	Tin	PT Babel Inti Perkasa	CID001402	Conformant
189	Tin	PT Babel Surya Alam Lestari	CID001406	Conformant
190	Tin	PT Bangka Prima Tin	CID002776	Conformant
191	Tin	PT Bangka Serumpun	CID003205	Conformant
192	Tin	PT Belitung Industri Sejahtera	CID001421	Conformant
193	Tin	PT Bukit Timah	CID001428	Conformant
194	Tin	PT Cipta Persada Mulia	CID002696	Conformant
195	Tin	PT Menara Cipta Mulia	CID002835	Conformant
196	Tin	PT Mitra Stania Prima	CID001453	Conformant
197	Tin	PT Mitra Sukses Globalindo	CID003449	Conformant

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198	Tin	PTPremium Tin Indonesia	CID000313	Conformant
199	Tin	PTPrima Timah Utama	CID001458	Conformant
200	Tin	PTPutera Sarana Shakti (PTPSS)	CID003868	Conformant
201	Tin	PTRajawali Rimba Perkasa	CID003381	Conformant
202	Tin	PTRajehan Ariq <sup>2</sup>	CID002593	Conformant
203	Tin	PTRefined Bangka Tin	CID001460	Conformant
204	Tin	PTSariwiguna Binasantosa	CID001463	Conformant
205	Tin	PTStanindo Inti Perkasa	CID001468	Conformant
206	Tin	PTSukses Inti Makmur (SIM)	CID002816	Conformant
207	Tin	PTTimah Nusantara	CID001486	Conformant
208	Tin	PTTimah Tbk Kundur	CID001477	Conformant
209	Tin	PTTimah Tbk Mentok	CID001482	Conformant
210	Tin	PTTinindo Inter Nusa	CID001490	Conformant
211	Tin	PTTommy Utama	CID001493	Conformant
212	Tin	Resind Industria e Comercio Ltda.	CID002706	Conformant
213	Tin	Rui Da Hung	CID001539	Conformant
214	Tin	Soft Metais Ltda. <sup>2</sup>	CID001758	Conformant
215	Tin	Super Ligas	CID002756	Conformant
216	Tin	Tin Technology & Refining	CID003325	Conformant
217	Tin	Yunnan Chengfeng Non-ferrous Metals Co., Ltd.	CID002158	Conformant
218	Tin	Yunnan Yunfan Non-ferrous Metals Co., Ltd.	CID003397	Conformant
219	Tin	Gejiu Zili Mining And Metallurgy Co., Ltd.	CID000555	Active
220	Tin	PTPanca Mega Persada	CID001457	Active
221	Tin	Gejiu Yunxin Nonferrous Electrolysis Co., Ltd.	CID001908	Active
222	Tin	VQB Mineral and Trading Group JSC	CID002015	Active
223	Tin	Nghe Tinh Non-Ferrous Metals Joint Stock Company	CID002573	Active
224	Tin	Tuyen Quang Non-Ferrous Metals Joint Stock Company	CID002574	Active
225	Tin	An Vinh Joint Stock Mineral Processing Company	CID002703	Active
226	Tin	Pongpipat Company Limited	CID003208	Active

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227	Tin	Gejiu City Fuxiang Industry and Trade Co., Ltd.	CID003410	Active
228	Tungsten	A.L.M.T. Corp.	CID000004	Conformant
229	Tungsten	Asia Tungsten Products Vietnam Ltd.	CID002502	Conformant
230	Tungsten	China Molybdenum Tungsten Co., Ltd.	CID002641	Conformant
231	Tungsten	Chongyi Zhangyuan Tungsten Co., Ltd.	CID000258	Conformant
232	Tungsten	Cronimet Brasil Ltda	CID003468	Conformant
233	Tungsten	Fujian Xinlu Tungsten Co., Ltd.	CID003609	Conformant
234	Tungsten	Ganzhou Jiangwu Ferrotungsten Co., Ltd.	CID002315	Conformant
235	Tungsten	Ganzhou Seadragon W&Mo Co., Ltd.	CID002494	Conformant
236	Tungsten	Global Tungsten & Powders LLC	CID000568	Conformant
237	Tungsten	Guangdong Xianglu Tungsten Co., Ltd.	CID000218	Conformant
238	Tungsten	H.C. Starck Tungsten GmbH	CID002541	Conformant
239	Tungsten	Hubei Green Tungsten Co., Ltd.	CID003417	Conformant
240	Tungsten	Hunan Chenzhou Mining Co., Ltd.	CID000766	Conformant
241	Tungsten	Hunan Jintai New Material Co., Ltd.	CID000769	Active
242	Tungsten	Hunan Shizhuyuan Nonferrous Metals Co., Ltd. Chenzhou Tungsten Products Branch	CID002513	Conformant
243	Tungsten	Hydrometallurg, JSC	CID002649	Active
244	Tungsten	Japan New Metals Co., Ltd.	CID000825	Conformant
245	Tungsten	Jiangwu H.C. Starck Tungsten Products Co., Ltd.	CID002551	Conformant
246	Tungsten	Jiangxi Gan Bei Tungsten Co., Ltd.	CID002321	Conformant
247	Tungsten	Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd.	CID002318	Conformant
248	Tungsten	Jiangxi Xinsheng Tungsten Industry Co., Ltd.	CID002317	Conformant
249	Tungsten	Jiangxi Yaosheng Tungsten Co., Ltd.	CID002316	Conformant
250	Tungsten	Kennametal Fallon	CID000966	Conformant
251	Tungsten	Kennametal Huntsville	CID000105	Conformant
252	Tungsten	Lianyou Metals Co., Ltd.	CID003407	Conformant
253	Tungsten	Malipo Haiyu Tungsten Co., Ltd.	CID002319	Conformant
254	Tungsten	Masan High-Tech Materials	CID002543	Conformant
255	Tungsten	Moliren Ltd.	CID002845	Active

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256	Tungsten	Niagara Refining LLC	CID002589	Conformant
257	Tungsten	Philippine Chuangxin Industrial Co., Inc.	CID002827	Conformant
258	Tungsten	Tungsten Vietnam Joint Stock Company	CID003993	Conformant
259	Tungsten	TANIOBIS Smelting GmbH & Co. KG	CID002542	Conformant
260	Tungsten	Wolfram Bergbau und Hutten AG	CID002044	Conformant
261	Tungsten	Xiamen Tungsten (H.C.) Co., Ltd.	CID002320	Conformant
262	Tungsten	Xiamen Tungsten Co., Ltd.	CID002082	Conformant