# Module 2: How to Complete a Conflict Minerals Reporting Template

September 2015

# Conflict Minerals Training Modules

## Module 1

- Intended for suppliers unfamiliar with conflict minerals reporting requirements

- Content:
  - Background on Conflict Minerals legislation
  - Overview of reporting expectations
  - Timeline and actions required

## Module 2

- Intended for supplier focal responsible for annual conflict minerals reporting to LMI Aerospace

- Content:
  - Instructions for completing Conflict Minerals Reporting Template (CMRT)
  - Methods for CMRT submission

# Module 2 Purpose and Agenda

## Desired Outcome:

- Understand LMI expectations of suppliers on how to complete a Conflict Minerals Reporting Template (CMRT), including examples of common errors

| Topic | Slide(s) |
|---|---|
| Conflict Minerals Reporting Template Overview | 4 |
| Review of CMRT Tabs and Sections | 5-14 |
| How to Submit Your CMRT to LMI | 15-16 |

# Conflict Minerals Reporting Template



Chinese
English
Japanese
Korean
French
Portuguese
German
Spanish
Italian

**1. Language Options**

**2. Company Information**
- Company Name
- Address
- Contact Person
- Email and Telephone

**3. 3TG Questions**
- Tin
- Tungsten
- Tantalum
- Gold

**4. Company Sourcing Policy Information**

**5. Smelter List**

**NOTE:**
- Must use CMRT template Rev 4.0 or later
- Yellow sections are required fields
- Grey fields do not need to be completed
- Hover over cells with red triangle for additional info

| Declaration | **Smelter List** | Checker | Product List |

# CMRT: Language

Conflict Minerals Reporting Template (CMRT)

Select Language Preference Here:
请选择你的语言:
사용할 언어를 선택하시오 :
表示言語をここから選択してください:
Sélectionner la langue préférée ici:
Selecione Preferência de idioma Aqui:
Wählen sie hier die Sprache:
Seleccione el lenguaje de preferencia aqui:
Selezionare la lingua di preferenza qui:

English

**1. Language Options**

Revision 4.0
April 30, 2015
Link to Terms & Conditions

The purpose of this document is to collect sourcing information on tin, tantalum, tungsten and gold used in products

## General Guidelines:

- Select the language of your choice for completing template questions
  - **Options:** Chinese, Japanese, Korean, French, Portuguese, German, Spanish, Italian
- Change language selection to English prior to submitting
- Complete **Company Information** and all **Comment** fields in English

## Common Errors:

- Writing company information in a language other than English
- Writing comments in a language other than English

# CMRT: Company Information

| Company Information | |
|---|---|
| Company Name (*): | |
| Declaration Scope or Class (*): | |
| Description of Scope: | |
| Company Unique ID: | |
| Company Unique ID Authority: | |
| Address: | |
| Contact Name (*): | |
| Email – Contact (*): | |
| Phone – Contact (*): | |
| Authorizer (*): | |
| Title - Authorizer: | |
| Email - Authorizer (*): | |
| Phone - Authorizer (*): | |
| Effective Date (*): | |

## 2. Company Information

## General Guidelines:

- Choose **Declaration Scope or Class**
  - **LMI preferred response: User-defined** – includes only supplier responses for parts sent to LMI in the calendar year being reported
  - **Will accept: Company-level** – includes supplier responses for all parts sent to all customers

- Company Unique ID
  - **LMI preferred response:** Duns or VAT code
  - **Will accept:** LMI vendor code

- Contact vs. Authorizer, if different
  - LMI will use Contact information to send feedback and further instructions

## Common Errors:

- Listing more than one name or email in a contact field

- Entering special characters in a contact field, such as **/** or **,**

- Forgetting to change the **Effective Date** in updated submissions
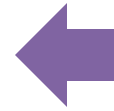
- Leaving required fields blank (or yellow)

# CMRT: 3TG Questions 1 and 2

**1) Is the 3TG intentionally added to your product? (*)**

| | Answer |
|---:|:---|
| Tantalum (*) | |
| Tin (*) | |
| Gold (*) | |
| Tungsten (*) | |

**2) Is the 3TG necessary to the production of your company's products and contained in the finished product that your company manufactures or contracts to manufacture? (*)**

| | Answer |
|---:|:---|
| Tantalum (*) | |
| Tin (*) | |
| Gold (*) | |
| Tungsten (*) | |

## 3. 3TG Questions
Tin, Tungsten, Tantalum & Gold

## Answer Options:
- Yes
- No

### General Guidelines:

- Responses must be consistent with actual product specifications

- Answers to Questions 1 and 2 should be the same

- LMI expects **Yes** if 3TG is intentionally added anywhere in your supply chain

### Common Errors:

- Response is inconsistent with specifications of supplied product(s)

- Answering **No** for In-scope Metal without providing a comment

- Answering **Yes** for Question 1 and **No** for Question 2, or visa versa

# CMRT: 3TG Question 3

**3) Do any of the smelters in your supply chain source the 3TG from the covered countries? (*)**

| | Answer |
|---|---|
| Tantalum (*) | |
| Tin (*) | |
| Gold (*) | |
| Tungsten (*) | |

**3. 3TG Questions**

Tin, Tungsten, Tantalum & Gold

**Answer Options:**

- Yes
- No
- Unknown

### General Guidelines:

- Responses must be consistent with actual product specifications

- No penalty for answering Yes or Unknown to Question 3
  - If you answer **Yes** or **No**, include the Location (Country) of Mine(s) from your suppliers on your Smelter List (including all smelters sourcing from the DRC or surrounding countries)

### Common Errors:

- Answering **Yes** or **No** to Question 3 for a metal without including smelters or refiners on the **Smelter List** for that metal

- Not following the instructions at the top of smelter tab

| Name of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap" | Location (Country) of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap" |
|---|---|
| | |

Declaration | Smelter List | Checker | Product List | Smelter Reference List
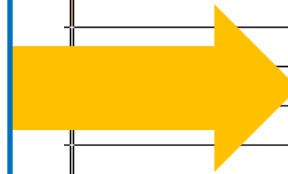
# CMRT: 3TG Question 4

**4) Does 100 percent of the 3TG (necessary to the functionality or production of your products) originate from recycled or scrap sources? (*)**

| | Answer |
|---|---|
| Tantalum (*) | |
| Tin (*) | |
| Gold (*) | |
| Tungsten (*) | |

**3. 3TG Questions**

Tin, Tungsten, Tantalum & Gold

## General Guidelines:

- Answer **Yes** only if all sources of the particular metal use exclusively recycled or scrap material
  - If you are able to identify the smelters of the recycled metals, list them on the smelter tab and complete columns N, O and P of the smelter tab (if known)
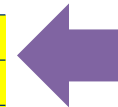
| N | O | P |
|---|---|---|
| Name of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap" | Location (Country) of Mine(s) or if recycled or scrap sourced, enter "recycled" or "scrap" | Does 100% of the smelter's feedstock originate from recycled or scrap sources? |
| | | |
| | | |
| | | |
| | | |
| | | |

Declaration | **Smelter List** | Checker | Product List

# CMRT: 3TG Question 5

**5) Have you received data/information for each 3TG from all relevant suppliers? (*)**

| | Answer |
|---|---|
| Tantalum (*) | |
| Tin (*) | |
| Gold (*) | |
| Tungsten (*) | |

## 3. 3TG Questions
Tin, Tungsten, Tantalum & Gold

## Answer Options:
- Yes, 100%
- No, but greater than 75%
- No, but greater than 50%
- No, but greater than 25%
- None

### General Guidelines:

- LMI suppliers must survey their suppliers to obtain the information necessary to complete the CMRT (including names of 3TG smelters)
  - LMI monitors year-over-year improvement in supplier response rate
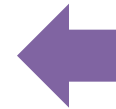  - LMI's goal is to achieve **Yes, 100%** for all supplier responses

### Common Errors:

- Answer **Yes, 100%** without including smelters or refiners on the Smelter List for that metal

# **CMRT:** 3TG Question 6

**6) Have you identified all of the smelters supplying the 3TG to your supply chain? (*)**

| | Answer |
|---|---|
| Tantalum (*) | |
| Tin (*) | |
| Gold (*) | |
| Tungsten (*) | |

← **3. 3TG Questions**
Tin, Tungsten, Tantalum & Gold

**Answer Options:**
- Yes
- No

## General Guidelines:

- LMI expects all relevant suppliers to submit a complete smelter list
  - If you have been unable to identify ALL of the 3TG smelters in your supply chain, respond **No** to Question 6 and continue working to obtain the required information
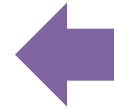  - Supplier responses are considered INCOMPLETE until all Question 6 answers are **Yes** for all metals

## Common Errors:

- Answer **Yes, 100%** without including smelters or refiners on the Smelter List for that metal

# CMRT: 3TG Question 7

**7) Has all applicable smelter information received by your company been reported in this declaration? (*)**

| | Answer |
|---|---|
| **Tantalum (*)** | |
| **Tin (*)** | |
| **Gold (*)** | |
| **Tungsten (*)** | |

## 3. 3TG Questions

Tin, Tungsten, Tantalum & Gold

## Answer Options:

- Yes
- No

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**General Guidelines:**

- LMI expects all relevant suppliers to submit a complete smelter list
  - If any smelter information received by your company has been excluded from this declaration, the appropriate response to Question 7 is **No**

- For all **No** responses, use the **Comment** field to explain the reason(s) for non-inclusion
  - Example: Duplicate entries were excluded from the smelter list

# CMRT: Company Level Questions A-J

**Answer the Following Questions at a Company Level**

| Question | Answer | Comments |
|---|---|---|
| A. Do you have a policy in place that addresses conflict minerals sourcing? (*) | | |
| B. Is your conflict minerals sourcing policy publicly available on your website? (Note – If yes, the user shall specify the URL in the comment field.) (*) | | |
| C. Do you require your direct suppliers to be DRC conflict-free? (*) | | |
| D. Do you require your direct suppliers to source the 3TG from smelters whose due diligence practices have been validated by an independent third party audit program? (*) | | |
| E. Have you implemented due diligence measures for conflict-free sourcing? (*) | | |
| F. Do you collect conflict minerals due diligence information from your suppliers which is in conformance with the IPC-1755 Conflict Minerals Data Exchange standard [e.g., the CFSI Conflict Minerals Reporting Template]? (*) | | |
| G. Do you request smelter names from your suppliers? (*) | | |
| H. Do you review due diligence information received from your suppliers against your company's expectations? (*) | | |
| I. Does your review process include corrective action management? (*) | | |
| J. Are you subject to the SEC Conflict Minerals rule? (*) | | |

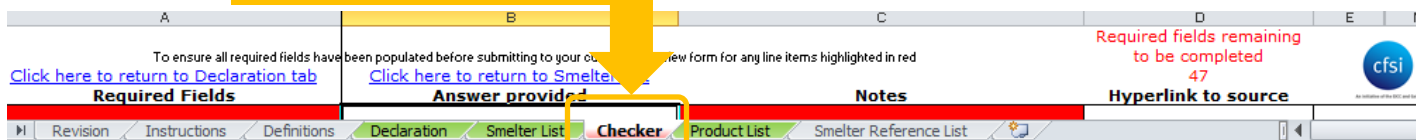**4. Company Sourcing Policy Information**

## General Guidelines:

- Complete all questions in this section
  - Answers are required
- Certain questions require comments
  - Use the **Checker** tab to determine if responses are complete

## Common Errors:

- Leaving fields blank
- Forgetting required comments, even if Questions A-J are complete

To ensure all required fields have been populated before submitting to your customer, review form for any line items highlighted in red

Click here to return to Declaration tab | Click here to return to Smelter List

**Required Fields** | **Answer provided** | **Notes** | **Hyperlink to source**

Required fields remaining to be completed
47

cfsi

| Revision | Instructions | Definitions | Declaration | Smelter List | **Checker** | Product List | Smelter Reference List |

# CMRT: Smelter List

## General Guidelines:

- Consolidate the smelter lists received from your suppliers, then eliminate all duplicates *prior* to entering data on the smelter tab

- Check smelter list against the **Smelter Reference List** tab for identified smelters and refiners

- Smelter List Data Entry
  - Follow instructions at the top of **Smelter List** tab
  - Once a metal and smelter is selected from the drop down menu (column B & C), the remaining fields will auto populate
  - If a smelter in your base is not listed, select **Smelter not listed** from the drop down menu in column B and manually add the smelter details

## Common Errors:

- Smelter list begins in any row other than row 5

- Mandatory fields (smelter name, country and metal) are blank

- Entering same smelter information in multiple rows

- Smelter listed does not process selected metal

# How to Submit Your CMRT to LMI

## OPTION 1 | LMI Preferred Method

iPoint Conflict Minerals Platform (iPCMP) | Revision 4.0 or later

- Consolidate all supplier responses and smelter lists
- Send CMRTs to your customers (including LMI)
  - Basic License required - FREE!
- Request and collect CMRTs from your suppliers
  - Premium or Premium Plus License required (depending on the number of suppliers you are contacting)
- License options and more information available at: **www.conflict-minerals.com**
- Send your iPCMP account number to: **ConflictMineralResponse@lmiaerospace.com**

# How to Submit Your CMRT to LMI

## OPTION 2 | Alternative Method

Email directly to LMI: **ConflictMineralResponse@lmiaerospace.com**

- Submit CMRT spreadsheet file (Revision 4.0 or later )
  - XLS or XLSX file format only
  - No PDF or other formats
- Email subject line:
  - LMI CMRT Submission
  - Your company's unique ID



**BEFORE YOU SUBMIT:**

- Common CMRT mistakes can result in an incomplete report
- Review the Common Errors referenced in this presentation
- Correct any errors before submitting to ensure LMI receives a complete CMRT

# Thank you for reviewing the
# **LMI Aerospace Conflict Minerals Module 2**

Please direct any questions to:
**ConflictMineralResponse@lmiaerospace.com**