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

<table>
<thead>
<tr>
<th>Topic</th>
<th>Slide(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conflict Minerals Reporting Template Overview</td>
<td>4</td>
</tr>
<tr>
<td>Review of CMRT Tabs and Sections</td>
<td>5-14</td>
</tr>
<tr>
<td>How to Submit Your CMRT to LMI</td>
<td>15-16</td>
</tr>
</tbody>
</table>
Conflict Minerals Reporting Template

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
CMRT: Language

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

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

<table>
<thead>
<tr>
<th>1) Is the 3TG intentionally added to your product? (*)</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tantalum (*).</td>
<td></td>
</tr>
<tr>
<td>Tin (*).</td>
<td></td>
</tr>
<tr>
<td>Gold (*).</td>
<td></td>
</tr>
<tr>
<td>Tungsten (*).</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>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? (*)</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tantalum (*).</td>
<td></td>
</tr>
<tr>
<td>Tin (*).</td>
<td></td>
</tr>
<tr>
<td>Gold (*).</td>
<td></td>
</tr>
<tr>
<td>Tungsten (*).</td>
<td></td>
</tr>
</tbody>
</table>

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
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
### 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? (*)

<table>
<thead>
<tr>
<th>Metal</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tantalum</td>
<td>(*)</td>
</tr>
<tr>
<td>Tin</td>
<td>(*)</td>
</tr>
<tr>
<td>Gold</td>
<td>(*)</td>
</tr>
<tr>
<td>Tungsten</td>
<td>(*)</td>
</tr>
</tbody>
</table>

#### 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)

#### 3. 3TG Questions

**Tin, Tungsten, Tantalum & Gold**

<table>
<thead>
<tr>
<th>N</th>
<th>O</th>
<th>P</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name of Mine(s) or if recycled or scrap sourced, enter &quot;recycled&quot; or &quot;scrap&quot;</strong></td>
<td><strong>Location (Country) of Mine(s) or if recycled or scrap sourced, enter &quot;recycled&quot; or &quot;scrap&quot;</strong></td>
<td><strong>Does 100% of the smelter's feedstock originate from recycled or scrap sources?</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Declaration**

**Smelter List**

**Checker**

**Product List**
**CMRT: 3TG Question 5**

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

<table>
<thead>
<tr>
<th></th>
<th>Tantalum (*)</th>
<th>Tin (*)</th>
<th>Gold (*)</th>
<th>Tungsten (*)</th>
</tr>
</thead>
</table>

**Answer**

**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? (*)

<table>
<thead>
<tr>
<th></th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tantalum</td>
<td></td>
</tr>
<tr>
<td>Tin</td>
<td></td>
</tr>
<tr>
<td>Gold</td>
<td></td>
</tr>
<tr>
<td>Tungsten</td>
<td></td>
</tr>
</tbody>
</table>

**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

**Answer Options:**

- **Yes**
- **No**

**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? (*)

<table>
<thead>
<tr>
<th></th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tantalum (*)</td>
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<td>Tungsten (*)</td>
<td></td>
</tr>
</tbody>
</table>

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 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
## 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
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