

**MKS INSTRUMENTS, INC.**  
**Conflict Minerals Report**  
**For the Year Ended December 31, 2023**

**Special Note Regarding Forward-Looking Statements**

This report contains “forward-looking statements” within the meaning of the Private Securities Litigation Reform Act of 1995, Section 27A of the Securities Act of 1933, as amended, and Section 21E of the Securities Exchange Act of 1934, as amended (the “Exchange Act”). These forward-looking statements reflect management’s current opinions and are subject to certain risks and uncertainties that could cause actual results to differ materially from those stated. MKS assumes no obligation to update this information. Risks and uncertainties include, but are not limited to, those discussed in the section entitled “Risk Factors” found in the Company’s most recent Annual Report on Form 10-K and any subsequent Quarterly Reports on Form 10-Q, as filed with the Securities and Exchange Commission (the “SEC”).

**Summary of the Conflict Minerals Rule**

This report for the year ended December 31, 2023 is included to comply with Rule 13p-1 under the Exchange Act (the “Conflict Minerals Rule”), which was adopted by the SEC to implement reporting and disclosure requirements related to Conflict Minerals as directed by the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010. The Conflict Minerals Rule imposes certain reporting obligations on a company that files reports with the SEC under Sections 13(a) and 15(d) of the Exchange Act (a “public company”), whose manufactured products contain Conflict Minerals which are necessary to the functionality or production of its products. Conflict minerals are defined as gold, columbite-tantalite (“coltan”), cassiterite and wolframite, including their derivatives, tantalum, tin and tungsten (“Conflict Minerals”).

If a public company cannot establish that the Conflict Minerals originated from sources other than the Democratic Republic of the Congo or an adjoining country (the “Covered Countries”), or from recycled and scrap sources, it must submit a Form SD which describes the reasonable country of origin inquiry completed.

If a public company has reason to believe that any of the Conflict Minerals in its supply chain may have originated in the Covered Countries, or if it is unable to determine the country of origin of those Conflict Minerals, then that company must exercise due diligence on the Conflict Minerals’ source and chain of custody. The company must annually submit a report to the SEC that includes a description of those due diligence measures (“Conflict Minerals Report”).

**1. Company Overview**

This report has been prepared by management of MKS Instruments, Inc. (herein referred to as “MKS,” the “Company,” “we,” “us,” or “our”). The information in this report includes the activities of MKS and its subsidiaries.

Founded in 1961, MKS enables technologies that transform our world. MKS delivers foundational technology solutions to leading edge semiconductor manufacturing, electronics and packaging, and specialty industrial applications. MKS applies its broad science and engineering capabilities to create instruments, subsystems, systems, process control solutions and specialty chemicals technology that improve process performance, optimize productivity and enable unique innovations for many of the world’s leading technology and industrial companies. MKS’ solutions are critical to addressing the challenges of miniaturization and complexity in advanced device manufacturing by enabling increased power, speed, feature enhancement, and optimized connectivity. MKS’ solutions are also critical to addressing ever-increasing performance requirements across a wide array of specialty industrial applications. MKS employs approximately 10,000 individuals.

MKS has three reportable segments: the Vacuum Solutions Division (“VSD”) segment, the Photonics Solutions Division (“PSD”) segment and the Materials Solutions Division (“MSD”) segment. The VSD segment delivers foundational technology solutions to leading edge semiconductor manufacturing, electronics and packaging and specialty industrial applications. VSD products are derived from MKS’ core competencies in pressure measurement and control, flow measurement and control, gas and vapor delivery, gas composition analysis, electronic control technology, reactive gas generation and delivery, power generation and delivery and vacuum technology. The PSD segment provides a broad range of instruments, components and subsystems to leading edge semiconductor manufacturing, electronics and packaging and specialty industrial applications. PSD products are derived from MKS’ core competencies in lasers, photonics, optics, temperature sensing, precision motion control and vibration control. The MSD segment develops leading process and manufacturing technologies for advanced surface modification, electroless and electrolytic plating, and surface finishing. Applying a comprehensive systems-and-solutions approach, MSD’s portfolio includes chemistry, equipment, software, and services for innovative and high-technology applications in our electronics and packaging and specialty industrial markets.

MKS has tens of thousands of products in its portfolio. MKS’ products are used in diverse markets, applications and processes. MKS serves the semiconductor, electronics and packaging, and specialty industrial markets.

### ***Semiconductor Market***

We are a critical solutions provider for semiconductor manufacturing. Our products are used in major semiconductor processing steps, such as deposition, etching, cleaning, lithography, metrology, and inspection. The semiconductor industry continually faces new challenges, as products become smaller, more powerful and highly mobile. Ultra-thin layers, smaller critical dimensions, new materials, 3D structures, and the ongoing need for higher yield and productivity drive the need for tighter process measurement and control, all of which MKS supports. We believe we are the broadest critical subsystem provider in the wafer fabrication equipment ecosystem and address over 85% of the market. We have characterized our broad and unique offering as Surround the Wafer® to reflect the technology enablement we provide across almost every major process in semiconductor manufacturing today.

### ***Electronics and Packaging Market***

MKS is a foundational solutions provider for the electronics and packaging market. Our portfolio includes photonics components, laser drilling systems, electronics chemistries and plating equipment that are critical for the manufacturing of printed circuit boards (“PCBs”) and package substrates, and critical to wafer level packaging (“WLP”) applications. Similar to the semiconductor industry, the PCB, package substrate and WLP industries increasingly demand smaller features, greater density, and better performance. In addition, the electronics and packaging market also includes sales of our vacuum and photonics solutions for display manufacturing applications. We characterize our complementary offering of laser systems and chemistry solutions as Optimize the Interconnect®, to reflect the unique technology enablement we provide at the interconnect level within PCBs, package substrates and WLPs.

### ***Specialty Industrial Market***

MKS’ strategy in specialty industrial is to leverage our domain expertise and proprietary technologies across a broad array of applications in industrial technologies, life and health sciences, and research and defense markets. Industrial technologies encompasses a wide range of diverse applications, including chemistries for functional coatings, surface finishing and wear resistance in the automobile industry, vacuum solutions for synthetic diamond manufacturing and photonics for solar manufacturing. Other applications include vacuum and photonics solutions for light emitting diode and laser diode manufacturing. Our products for life and health sciences are used in a diverse array of applications, including bioimaging, medical instrument sterilization, medical device manufacturing, analytical, diagnostic and surgical instrumentation, consumable medical supply manufacturing and pharmaceutical production. Our products for research and defense are sold to government, university and industrial laboratories for applications involving research and development in materials science, physical chemistry, photonics, optics and electronics materials. Our products are also sold for monitoring and defense applications including surveillance, imaging and infrastructure protection.

Except for certain specific product lines (e.g. fittings, flanges, lenses, certain mirrors, tubing, certain chemistry products, etc.), many of the products MKS manufactures or contracts to manufacture include tin, gold, tantalum and/or tungsten. Additionally, MSD sells chemical solutions that themselves directly contain gold and tin (e.g. Aurotech® and Stannatech® products). As a result, Conflict Minerals are found in many MKS products.

## Supply Chain

With such an extensive product portfolio, our supply chain is highly complex. In 2023, MKS and its subsidiaries purchased supplies from over 4,600 suppliers across the world. In addition to dealing with a very large number of suppliers, MKS deals with multiple tiers of suppliers. We are generally many steps removed from the mining of Conflict Minerals and the smelting and refining of raw ores. We do not buy raw ore or unrefined Conflict Minerals or make purchases from the Covered Countries. Except with respect to one supplier of gold that is also a smelter, we do not buy directly from smelters or refiners. The smelters and refiners are in the best position in our supply chain to know the origin of the ores. For these reasons, the process of mapping our end-to-end supply chain is extremely onerous.

In order to comply with the Conflict Minerals Rule, we rely on our direct suppliers to provide information on the origin of the Conflict Minerals contained in components and materials supplied to us, including sources of Conflict Minerals that are supplied to them from lower tier suppliers. Our outreach efforts for the past ten years are summarized below:

- For 2014, we expanded our supplier outreach efforts by contacting 957 of our direct suppliers, representing in excess of 80% of our 2014 expenditures.
- In 2015, we expanded our supplier outreach efforts again, contacting over 1,400 of our direct suppliers and many more manufacturers represented by distributors, representing over 99% of our 2015 expenditures.
- In 2016, we contacted over 3,500 of our direct suppliers, representing 99% of our 2016 expenditures.
- In 2017, we contacted over 3,400 of our direct suppliers, representing 99.5% of our 2017 expenditures.
- In 2018, we contacted over 3,800 of our direct suppliers, representing 99.8% of our 2018 expenditures.
- In 2019, we engaged a third-party service provider, Source Intelligence, to contact over 4,400 of our direct suppliers, representing 100% of our 2019 expenditures.
- In 2020, we developed a more robust system to track our suppliers, resulting in the elimination of a significant number of duplicate and non-inventory suppliers from our total supplier count. We reengaged Source Intelligence to contact over 3,300 of our direct suppliers, representing 100% of our 2020 expenditures. We received responses from 63% of our suppliers, a 9% increase compared to 2019.
- In 2021, we improved the categorization of our spend data, resulting in the elimination of additional non-inventory suppliers. We reengaged Source Intelligence to contact over 2,700 of our direct suppliers, representing 100% of our 2021 expenditures. We received responses from 69% of our suppliers, a 6% increase compared to 2020.
- In 2022, we engaged a new third-party service provider, Assent Compliance, to contact over 3,300 of our direct suppliers, representing 100% of our 2022 expenditures. We received responses from 68% of our suppliers, a similar response rate compared to 2021.
- In 2023, we (i) reengaged Assent Compliance to contact over 3,300 of our direct suppliers of non-chemistry products (“Non-Chemistry Products”), representing 100% of our 2023 expenditures for Non-Chemistry Products, and (ii) contacted our direct suppliers of chemistry products that contain Conflict Minerals (“Relevant Chemistry Products” and, together with Non-Chemistry Products, “Relevant Products”), representing 100% of our 2023 expenditures for Relevant Chemistry Products. We received responses from 72% of our suppliers (including 100% of our suppliers of Relevant Chemistry Products).
- Each year we, or our third-party service provider, then followed up with electronic reminders and telephone calls to request suppliers complete the surveys.

Despite having conducted a good faith reasonable country of origin inquiry, we are unable to determine the origin of all of the Conflict Minerals in our products. Due to the complexity of our broad product portfolio and supply chain, it will take additional time for many of our suppliers to verify the origin of the Conflict Minerals in the products they supply to us. We continue to engage with each of these suppliers and they in turn continue to engage with their suppliers. We hope that with additional time, these outreach efforts will result in greater transparency into

our supply chain. In addition, Assent Compliance confirmed that certain Conflict Minerals in our products likely originated in the Covered Countries. For these reasons, we are required under the Conflict Minerals Rule to submit to the SEC a Conflict Minerals Report as an exhibit to Form SD. This report must include:

- a description of the measures we took to exercise due diligence on the Conflict Minerals' source and chain of custody;
- a description of the products manufactured or contracted to be manufactured that are not "DRC conflict free" (i.e. products containing minerals that finance armed groups in the Covered Countries);
- the facilities used to process the Conflict Minerals;
- the country of origin of the Conflict Minerals; and
- the efforts to determine the mine or location of origin.

In accordance with The Organisation for Economic Co-operation and Development (OECD) Guidance and the Conflict Minerals Rule, this report is available on our website <https://www.mks.com/ConflictMineralsReport>.

### **Conflict Minerals Policy**

We adopted the following Conflict Minerals Policy:

#### **MKS Conflict Minerals Policy**

In 2012, the U.S. Securities and Exchange Commission (the "SEC") issued its final rule under Section 1502 of the 2010 Dodd-Frank Wall Street Reform and Consumer Protection Act (the "Conflict Minerals Rule") imposing new disclosure and related supply chain due diligence requirements for public companies regarding their use of "Conflict Minerals" in products they manufacture or contract to manufacture. The goal of this new rule is to curb the violent conflict and human rights abuses in the Democratic Republic of the Congo ("DRC")<sup>1</sup> and adjoining countries that are being financed in part by the exploitation and trade of Conflict Minerals from that region.

The Conflict Minerals Rule defines "Conflict Minerals" as cassiterite (tin), columbite-tantalite (tantalum), wolframite (tungsten), their respective derivatives and gold (commonly referred to as the "3Ts&G"). MKS, being a global provider of instruments, systems, subsystems and process control solutions that measure, monitor, deliver, analyze, power and control critical parameters of advanced manufacturing processes to improve process performance and productivity for its customers, uses certain of these Conflict Minerals in the manufacturing of its products. MKS is committed to identifying any of its suppliers who source Conflict Minerals from the DRC region from conflict sources. We expect our suppliers to partner with us in this endeavor regardless of whether they are subject to the new Conflict Minerals Rule by providing us with all necessary declarations. We also expect our suppliers to pass this requirement on to their supply chain if they do not source directly from smelters, to determine the source of the Conflict Minerals. The process of mapping our end-to-end supply chain is onerous because MKS deals with multiple tiers and a very large number of suppliers. However, MKS is committed to this effort and should MKS discover at any time that any of its suppliers are sourcing materials from the DRC region from conflict sources, MKS will work with the supplier to end this practice and if the supplier refuses, MKS will work diligently to identify and partner with an alternative supplier.

If you have any questions regarding MKS' Policy on Conflict Minerals, please contact us at [conflictminerals\\_customer@mksinst.com](mailto:conflictminerals_customer@mksinst.com).

MKS' relevant Conflict Minerals Report can be found at <https://www.mks.com/ConflictMineralsReport>.

Our policy is publicly available on our website at <https://www.mks.com/ConflictMineralsPolicy>.

---

1 Conflict Minerals procured from the following “covered countries” are the focus of the Rule: the DRC, Angola, Burundi, the Central African Republic, the Republic of the Congo, Rwanda, South Sudan, Tanzania, Uganda, and Zambia

## **2. Due Diligence Process**

### **2.1 Design of Due Diligence**

Our due diligence process has been designed to conform generally with the framework in the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas (OECD Guidance) and the related Supplements for gold and for tin, tantalum and tungsten.

Our due diligence process includes:

- the adoption of a Conflict Minerals Policy;
- the establishment of a cross-functional team for complying with the Conflict Minerals Rule;
- engagement of suppliers;
- due diligence compliance process and measurement;
- extensive record keeping; and
- continued follow-up communication with suppliers.

### **2.2 Management Systems**

As described above, MKS has adopted a company policy which is posted on our website at <https://www.mks.com/ConflictMineralsPolicy>.

#### **Internal Team**

MKS has established a cross-functional team led by our Global Supply Chain Manager, who has 20 years of experience in chemical and supplier management. The team is responsible for implementing our Conflict Minerals compliance strategy. Senior management is briefed about the results of our due diligence efforts.

#### **Supplier Engagement**

With respect to the OECD requirement to strengthen engagement with suppliers, we have established, where practicable, long-term relationships with our numerous suppliers. We have communicated to our suppliers our expectations with respect to the Conflict Minerals Rule. In addition, we have incorporated our expectations with respect to our Conflict Mineral Policy and reporting obligation into the terms and conditions of our supplier contracts.

#### **Maintain Records**

We have developed an internal system for documenting the implementation, management and monitoring of our Conflict Minerals Program.

### **2.3 Identify and Assess Risk in the Supply Chain**

Because of our size, the complexity of our products, and the depth and breadth of our supply chain, it is difficult to identify suppliers upstream from our direct suppliers. In 2023, either directly or through our third-party service provider, Assent Compliance, we reached out to all of our direct suppliers for Relevant Products, representing 100% of our supplier spend for Relevant Products. We rely on these suppliers, whose components and materials contain Conflict Minerals, to provide us with information about the source of Conflict Minerals contained in the components and materials supplied to us. Our direct suppliers are similarly reliant upon information provided by their suppliers. Many of our direct suppliers and distributors either: (i) provided names of smelters or refiners that could not be verified using the Responsible Minerals Assurance Process Conformant Smelters & Refiners Lists, (ii) did not respond to our survey despite follow-up requests, (iii) responded to our survey with incomplete or inconsistent information, or (iv) responded to our survey with a form letter informing us that they would not be

completing the survey due to a variety of reasons, including, but not limited to: (a) lack of resources, (b) the fact that only de minimis amounts of Conflict Minerals were contained in their products, and/or (c) the supplier was not itself subject to the Conflict Minerals Rule. In general, follow-up requests to these suppliers did not produce additional information unless we had leverage with a particular supplier due to the amount of our spend with such supplier. More time is still needed to determine all of the smelters/refiners used in our supply chain. MKS plans to continue its efforts to identify all of the Conflict Minerals' smelters/refiners used in our supply chain through a combination of annual supplier surveys and direct follow-up supplier engagement.

## **2.4 Design and Implement a Strategy to Respond to Risks**

MKS has a risk management plan through which the Conflict Minerals program is implemented, managed and monitored. Updates to this risk assessment are provided to senior management.

As part of our risk management plan, to ensure suppliers understand our expectations, in addition to the Conflict Minerals Policy that we publish on our website, we incorporate our expectations with respect to our Conflict Mineral Policy into the terms and conditions of our supplier contracts. Either directly or through our third-party service provider, Assent Compliance, we also requested information from our suppliers who represent 100% of our 2023 supplier spend for Relevant Products, and both Assent Compliance and MKS held individual follow-up calls with and/or sent emails to those suppliers whose survey responses were incomplete, unclear or seemed erroneous based on our knowledge of the materials we purchase from that supplier.

As described in our Conflict Minerals Policy, we will work with any of our suppliers whom we have reason to believe is supplying us with Conflict Minerals from sources that may support conflict in the DRC or any adjoining country to end this practice and if the supplier refuses, we will work diligently to identify and partner with an alternative supplier of Conflict Minerals that does not support such conflict.

## **2.5 Carry out Independent Third-Party Audit of Supply Chain Due Diligence at Identified Points in the Supply Chain**

Except with respect to one supplier of gold that is also a smelter, we do not have a direct relationship with Conflict Minerals smelters and refiners. We do not perform or direct audits of these entities within our supply chain. We rely on audits performed by industry groups like the Responsible Business Alliance's Responsible Minerals Initiative.

## **2.6 Report on Supply Chain Due Diligence**

This report is available on our website at <https://www.mks.com/ConflictMineralsReport>.

## **3. Due Diligence Results**

### **Request Information**

We conducted a survey of those suppliers described above using the Responsible Minerals Initiative template, known as the Conflict Minerals Reporting Template. The template was developed to facilitate disclosure and communication of information regarding smelters that provide material to a company's supply chain. It includes questions regarding a company's Conflict Minerals policy, engagement with its direct suppliers, and a listing of the smelters the company and its suppliers use. In addition, the template contains questions about the origin of Conflict Minerals included in their products.

### **Survey Responses**

Either directly or through our third-party service provider, Assent Compliance, we received responses from 72% of our worldwide suppliers (including 100% of our suppliers of Relevant Chemistry Products), representing 93% of our total supplier spend. We reviewed the responses against criteria developed to determine which required further engagement with our suppliers. The vast majority of our suppliers provided data at a company level (vs. a product level). In many of the responses received, (i) the responses were incomplete and/or contained

inconsistencies within the data reported in the template and (ii) the identities of the smelters or refiners were not known. We continue to engage directly with these suppliers to provide revised or missing information. We are therefore not yet in a position to verify that all of the smelters or refiners in our supply chain are certified as conflict-free by the Responsible Business Alliance.

#### **Efforts to Determine Mine or Location of Origin**

In our supplier survey, we requested our suppliers to identify the smelter or refiner used in their respective supply chain. We have determined that seeking information about Conflict Minerals' smelters and refiners in our supply chain represents the most reasonable effort we can make to determine the mines or locations of origin of the Conflict Minerals in our supply chain. Based on the information provided by MKS suppliers in 2023, Exhibit A includes 355 smelters and refiners used in our supply chain that were identified by Responsible Minerals Initiative as "Conformant," "Active," or "Known." "Conformant" smelters and refiners are those smelters and refiners that have undergone a third-party audit, have systems in place to assure sourcing of only DRC conflict free materials, and are therefore identified as "Conformant" with Responsible Minerals Initiative's Process Assessment Program. "Active" smelters are those that have agreed in writing to produce information and are actively progressing towards a third-party audit. "Known" smelters and refiners are known to Responsible Minerals Initiative but not currently classified as "Conformant" or "Active." Despite our due diligence efforts, we know this list is incomplete as several of our suppliers either did not return a completed survey or returned an incomplete survey which did not include smelter or refiner names. We expect that with more time, more upstream suppliers will be in a better position to identify relevant smelters and refiners and will in turn pass that information further down the supply chain so that this list will be more complete.

To date, we have been informed that five of the smelters identified by our suppliers are located in Covered Countries but with further due diligence, we confirmed that all are on the Responsible Minerals Assurance Process Known Smelters & Refiners Lists. We are not aware of any other instance where we have reason to believe any of our suppliers are supplying us with Conflict Minerals from a source that may support conflict in the DRC or any adjoining country.

#### **4. Steps to be Taken Going Forward**

We intend to take the following steps in 2024 to expand and improve the due diligence conducted with respect to our supply chain:

- a. Continue to identify and implement changes to improve the process used to collect survey responses from our very large number of direct suppliers.
- b. Continue to remind our suppliers of their obligations and our expectations with respect to Conflict Minerals reporting at our supplier conferences.
- c. Continue to engage with suppliers to attempt to increase the response rate and improve the content of the supplier survey responses.
- d. If any of our suppliers are found to be supplying us with Conflict Minerals from sources that support conflict in the Covered Countries, to work with the supplier to end this practice and if the supplier refuses, to work diligently to identify and partner with an alternative supplier.

EXHIBIT A

| <b>Metal</b> | <b>Smelter Reference List</b>                              | <b>Smelter Name</b>  | <b>Smelter Country</b>   | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|--|--|--------------------------|-------------------------------|--|-----------------------|
| Tantalum     | 5D Production OU   | 5D Production OU   | Estonia                  | CID003926                     | RMI  | Known                 |
| Gold         | 8853 S.p.A.  | 8853 S.p.A.  | Italy                    | CID002763                     | RMI  | Known                 |
| Tungsten     | A.L.M.T. Corp.   | A.L.M.T. Corp.   | Japan                    | CID000004                     | RMI  | Conformant            |
| Gold         | ABC Refinery Pty Ltd.                                      | ABC Refinery Pty Ltd.                                      | Australia                | CID002920                     | RMI  | Known                 |
| Gold         | Abington Reldan Metals, LLC                                | Abington Reldan Metals, LLC                                | United States Of America | CID002708                     | RMI  | Conformant            |
| Tungsten     | ACL Metais Eireli  | ACL Metais Eireli  | Brazil                   | CID002833                     | RMI  | Known                 |
| Gold         | Advanced Chemical Company                                  | Advanced Chemical Company                                  | United States Of America | CID000015                     | RMI  | Active                |
| Gold         | African Gold Refinery                                      | African Gold Refinery                                      | Uganda                   | CID003185                     | RMI  | Known                 |
| Gold         | Agosi AG   | Agosi AG   | Germany                  | CID000035                     | RMI  | Conformant            |
| Gold         | Aida Chemical Industries Co., Ltd.                         | Aida Chemical Industries Co., Ltd.                         | Japan                    | CID000019                     | RMI  | Conformant            |
| Gold         | Al Etihad Gold Refinery DMCC                               | Al Etihad Gold Refinery DMCC                               | United Arab Emirates     | CID002560                     | RMI  | Known                 |
| Tungsten     | Albasteel Industria e Comercio de Ligas Para Fundicao Ltd. | Albasteel Industria e Comercio de Ligas Para Fundicao Ltd. | Brazil                   | CID003427                     | RMI  | Known                 |
| Gold         | Albino Mountinho Lda.                                      | Albino Mountinho Lda.                                      | Portugal                 | CID002760                     | RMI  | Known                 |
| Gold         | Alexy Metals   | Alexy Metals   | United States Of America | CID003500                     | RMI  | Known                 |
| Gold         | Almalyk Mining and Metallurgical Complex (AMMC)            | Almalyk Mining and Metallurgical Complex (AMMC)            | Uzbekistan               | CID000041                     | RMI  | Conformant            |
| Tin          | Alpha  | Alpha  | United States Of America | CID000292                     | RMI  | Conformant            |
| Tantalum     | AMG Brasil   | AMG Brasil   | Brazil                   | CID001076                     | RMI  | Conformant            |
| Tin          | An Vinh Joint Stock Mineral Processing Company             | An Vinh Joint Stock Mineral Processing Company             | Viet Nam                 | CID002703                     | RMI  | Known                 |
| Gold         | AngloGold Ashanti Corrego do Sitio Mineracao               | AngloGold Ashanti Corrego do Sitio Mineracao               | Brazil                   | CID000058                     | RMI  | Conformant            |
| Gold         | Argor-Heraeus S.A.   | Argor-Heraeus S.A.   | Switzerland              | CID000077                     | RMI  | Conformant            |
| Tungsten     | Artek LLC  | Artek LLC  | Russian Federation       | CID003553                     | RMI  | Known                 |
| Gold         | Asahi Pretec Corp.   | Asahi Pretec Corp.   | Japan                    | CID000082                     | RMI  | Conformant            |
| Gold         | Asahi Refining Canada Ltd.                                 | Asahi Refining Canada Ltd.                                 | Canada                   | CID000924                     | RMI  | Conformant            |
| Gold         | Asahi Refining USA Inc.                                    | Asahi Refining USA Inc.                                    | United States Of America | CID000920                     | RMI  | Conformant            |
| Gold         | Asaka Riken Co., Ltd.                                      | Asaka Riken Co., Ltd.                                      | Japan                    | CID000090                     | RMI  | Conformant            |
| Tungsten     | Asia Tungsten Products Vietnam Ltd.                        | Asia Tungsten Products Vietnam Ltd.                        | Viet Nam                 | CID002502                     | RMI  | Conformant            |
| Gold         | Atasay Kuyumculuk Sanayi Ve Ticaret A.S.                   | Atasay Kuyumculuk Sanayi Ve Ticaret A.S.                   | Turkey                   | CID000103                     | RMI  | Known                 |
| Gold         | AU Traders and Refiners                                    | AU Traders and Refiners                                    | South Africa             | CID002850                     | RMI  | Known                 |



| <b>Metal</b> | <b>Smelter Reference List</b>  | <b>Smelter Name</b>  | <b>Smelter Country</b>   | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|--|--|--------------------------|-------------------------------|--|-----------------------|
| Gold         | Augmont Enterprises Private Limited  | Augmont Enterprises Private Limited  | India                    | CID003461                     | RMI  | Known                 |
| Gold         | Aurubis AG   | Aurubis AG   | Germany                  | CID000113                     | RMI  | Conformant            |
| Tin          | Aurubis Beerse   | Aurubis Beerse   | Belgium                  | CID002773                     | RMI  | Conformant            |
| Tin          | Aurubis Berango  | Aurubis Berango  | Spain                    | CID002774                     | RMI  | Conformant            |
| Gold         | Bangalore Refinery   | Bangalore Refinery   | India                    | CID002863                     | RMI  | Active                |
|              | Bangko Sentral ng Pilipinas (Central Bank of the Philippines)                | Bangko Sentral ng Pilipinas (Central Bank of the Philippines)                | Philippines              | CID000128                     | RMI  | Conformant            |
| Gold         | Boliden AB   | Boliden AB   | Sweden                   | CID000157                     | RMI  | Conformant            |
|              | C. Hafner GmbH + Co. KG  | C. Hafner GmbH + Co. KG  | Germany                  | CID000176                     | RMI  | Conformant            |
| Gold         | Caridad  | Caridad  | Mexico                   | CID000180                     | RMI  | Known                 |
|              | CCR Refinery - Glencore Canada Corporation                                   | CCR Refinery - Glencore Canada Corporation                                   | Canada                   | CID000185                     | RMI  | Conformant            |
|              | Cendres + Metaux S.A.  | Cendres + Metaux S.A.  | Switzerland              | CID000189                     | RMI  | Known                 |
| Gold         | CGR Metalloys Pvt Ltd.   | CGR Metalloys Pvt Ltd.   | India                    | CID003382                     | RMI  | Known                 |
|              | Chenzhou Yunxiang Mining and Metallurgy Co., Ltd.                            | Chenzhou Yunxiang Mining and Metallurgy Co., Ltd.                            | China                    | CID000228                     | RMI  | Conformant            |
| Tin          | Chifeng Dajingzi Tin Industry Co., Ltd.                                      | Chifeng Dajingzi Tin Industry Co., Ltd.                                      | China                    | CID003190                     | RMI  | Conformant            |
| Tin          | Chimet S.p.A.  | Chimet S.p.A.  | Italy                    | CID000233                     | RMI  | Conformant            |
| Gold         | China Molybdenum Tungsten Co., Ltd.  | China Molybdenum Tungsten Co., Ltd.  | China                    | CID002641                     | RMI  | Conformant            |
| Tungsten     | China Tin Group Co., Ltd.  | China Tin Group Co., Ltd.  | China                    | CID001070                     | RMI  | Conformant            |
| Tin          | Chongyi Zhangyuan Tungsten Co., Ltd.   | Chongyi Zhangyuan Tungsten Co., Ltd.   | China                    | CID000258                     | RMI  | Conformant            |
| Tungsten     | Chugai Mining  | Chugai Mining  | Japan                    | CID000264                     | RMI  | Conformant            |
|              | CNMC (Guangxi) PGMA Co., Ltd.  | CNMC (Guangxi) PGMA Co., Ltd.  | China                    | CID000281                     | RMI  | Known                 |
| Tungsten     | Coimpa Industrial LTDA   | Coimpa Industrial LTDA   | Brazil                   | CID004010                     | RMI  | Conformant            |
| Gold         | CRM Fundicao De Metais E Comercio De Equipamentos Eletronicos Do Brasil Ltda | CRM Fundicao De Metais E Comercio De Equipamentos Eletronicos Do Brasil Ltda | Brazil                   | CID003486                     | RMI  | Conformant            |
| Tin          | CRM Synergies  | CRM Synergies  | Spain                    | CID003524                     | RMI  | Conformant            |
| Tin          | Cronimet Brasil Ltda   | Cronimet Brasil Ltda   | Brazil                   | CID003468                     | RMI  | Conformant            |
| Tungsten     | CV Ayi Jaya  | CV Ayi Jaya  | Indonesia                | CID002570                     | RMI  | Conformant            |
| Tin          | CV Venus Inti Perkasa  | CV Venus Inti Perkasa  | Indonesia                | CID002455                     | RMI  | Conformant            |
| Tantalum     | D Block Metals, LLC  | D Block Metals, LLC  | United States Of America | CID002504                     | RMI  | Conformant            |
| Gold         | Daye Non-Ferrous Metals Mining Ltd.  | Daye Non-Ferrous Metals Mining Ltd.  | China                    | CID000343                     | RMI  | Known                 |
|              | Degussa Sonne / Mond Goldhandel GmbH   | Degussa Sonne / Mond Goldhandel GmbH   | Germany                  | CID002867                     | RMI  | Known                 |
| Gold         | Dijllah Gold Refinery FZC  | Dijllah Gold Refinery FZC  | United Arab Emirates     | CID003348                     | RMI  | Known                 |

| Metal    | Smelter Reference List  | Smelter Name  | Smelter Country                  | Smelter Identification | Source of Smelter Identification Number | Smelter Status |
|----------|---|---|----------------------------------|------------------------|---|----------------|
| Tin      | Dongguan CiEXPO Environmental Engineering Co., Ltd.                                   | Dongguan CiEXPO Environmental Engineering Co., Ltd.                                   | China                            | CID003356              | RMI                                     | Known          |
| Tungsten | DONGKUK INDUSTRIES CO., LTD.  | DONGKUK INDUSTRIES CO., LTD.  | Korea, Republic Of               | CID004060              | RMI                                     | Known          |
| Gold     | Dongwu Gold Group   | Dongwu Gold Group   | China                            | CID003663              | RMI                                     | Known          |
| Gold     | Dowa  | Dowa  | Japan                            | CID000401              | RMI                                     | Conformant     |
| Tin      | Dowa  | Dowa  | Japan                            | CID000402              | RMI                                     | Conformant     |
| Tin      | DS Myanmar  | DS Myanmar  | Myanmar                          | CID003831              | RMI                                     | Conformant     |
| Gold     | DSC (Do Sung Corporation)   | DSC (Do Sung Corporation)   | Korea, Republic Of               | CID000359              | RMI                                     | Conformant     |
| Gold     | Eco-System Recycling Co., Ltd. East Plant   | Eco-System Recycling Co., Ltd. East Plant   | Japan                            | CID000425              | RMI                                     | Conformant     |
| Gold     | Eco-System Recycling Co., Ltd. North Plant  | Eco-System Recycling Co., Ltd. North Plant  | Japan                            | CID003424              | RMI                                     | Conformant     |
| Gold     | Eco-System Recycling Co., Ltd. West Plant   | Eco-System Recycling Co., Ltd. West Plant   | Japan                            | CID003425              | RMI                                     | Conformant     |
| Tin      | Electro-Mechanical Facility of the Cao Bang Minerals & Metallurgy Joint Stock Company | Electro-Mechanical Facility of the Cao Bang Minerals & Metallurgy Joint Stock Company | Viet Nam                         | CID002572              | RMI                                     | Known          |
| Tin      | EM Vinto Emerald Jewel Industry India Limited (Unit 1)                                | EM Vinto Emerald Jewel Industry India Limited (Unit 1)                                | Bolivia (Plurinational State Of) | CID000438              | RMI                                     | Conformant     |
| Gold     | EM Vinto Emerald Jewel Industry India Limited (Unit 2)                                | EM Vinto Emerald Jewel Industry India Limited (Unit 2)                                | India                            | CID003487              | RMI                                     | Known          |
| Gold     | EM Vinto Emerald Jewel Industry India Limited (Unit 3)                                | EM Vinto Emerald Jewel Industry India Limited (Unit 3)                                | India                            | CID003488              | RMI                                     | Known          |
| Gold     | EM Vinto Emerald Jewel Industry India Limited (Unit 4)                                | EM Vinto Emerald Jewel Industry India Limited (Unit 4)                                | India                            | CID003489              | RMI                                     | Known          |
| Gold     | Emirates Gold DMCC  | Emirates Gold DMCC  | India                            | CID003490              | RMI                                     | Known          |
| Gold     | Emirates Gold DMCC  | Emirates Gold DMCC  | United Arab Emirates             | CID002561              | RMI                                     | Known          |
| Tin      | Estanho de Rondonia S.A.  | Estanho de Rondonia S.A.  | Brazil                           | CID000448              | RMI                                     | Conformant     |
| Tantalum | F&X Electro-Materials Ltd.  | F&X Electro-Materials Ltd.  | China                            | CID000460              | RMI                                     | Conformant     |
| Tin      | Fabrica Auricchio Industria e Comercio Ltda.  | Fabrica Auricchio Industria e Comercio Ltda.  | Brazil                           | CID003582              | RMI                                     | Conformant     |
| Tin      | Fenix Metals  | Fenix Metals  | Poland                           | CID000468              | RMI                                     | Conformant     |
| Gold     | Fidelity Printers and Refiners Ltd.   | Fidelity Printers and Refiners Ltd.   | Zimbabwe                         | CID002515              | RMI                                     | Known          |
| Tantalum | FIR Metals & Resource Ltd.  | FIR Metals & Resource Ltd.  | China                            | CID002505              | RMI                                     | Conformant     |
| Gold     | Fujairah Gold FZC   | Fujairah Gold FZC   | United Arab Emirates             | CID002584              | RMI                                     | Known          |

| <b>Metal</b> | <b>Smelter Reference List</b>                           | <b>Smelter Name</b>                                     | <b>Smelter Country</b> | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|---|---|------------------------|-------------------------------|--|-----------------------|
| Tungsten     | Fujian Xinlu Tungsten Co., Ltd.                         | Fujian Xinlu Tungsten Co., Ltd.                         | China                  | CID003609                     | RMI  | Conformant            |
| Tungsten     | Ganzhou Jiangwu Ferrotungsten Co., Ltd.                 | Ganzhou Jiangwu Ferrotungsten Co., Ltd.                 | China                  | CID002315                     | RMI  | Conformant            |
| Tungsten     | Ganzhou Seadragon W & Mo Co., Ltd.                      | Ganzhou Seadragon W & Mo Co., Ltd.                      | China                  | CID002494                     | RMI  | Conformant            |
| Tin          | Gejiu City Fuxiang Industry and Trade Co., Ltd.         | Gejiu City Fuxiang Industry and Trade Co., Ltd.         | China                  | CID003410                     | RMI  | Known                 |
| Tin          | Gejiu Kai Meng Industry and Trade LLC                   | Gejiu Kai Meng Industry and Trade LLC                   | China                  | CID000942                     | RMI  | Known                 |
| Tin          | Gejiu Non-Ferrous Metal Processing Co., Ltd.            | Gejiu Non-Ferrous Metal Processing Co., Ltd.            | China                  | CID000538                     | RMI  | Conformant            |
| Tin          | Gejiu Yunxin Nonferrous Electrolysis Co., Ltd.          | Gejiu Yunxin Nonferrous Electrolysis Co., Ltd.          | China                  | CID001908                     | RMI  | Known                 |
| Tin          | Gejiu Zili Mining And Metallurgy Co., Ltd.              | Gejiu Zili Mining And Metallurgy Co., Ltd.              | China                  | CID000555                     | RMI  | Known                 |
| Gold         | GGC Gujrat Gold Centre Pvt. Ltd.                        | GGC Gujrat Gold Centre Pvt. Ltd.                        | India                  | CID002852                     | RMI  | Known                 |
| Tantalum     | Global Advanced Metals Aizu                             | Global Advanced Metals Aizu                             | Japan                  | CID002558                     | RMI  | Conformant            |
| Tantalum     | Global Advanced Metals Boyertown                        | Global Advanced Metals Boyertown                        | United States          | CID002557                     | RMI  | Conformant            |
| Tungsten     | Global Tungsten & Powders LLC                           | Global Tungsten & Powders LLC                           | United States          | CID000568                     | RMI  | Conformant            |
| Gold         | Gold by Gold Colombia                                   | Gold by Gold Colombia                                   | Colombia               | CID003641                     | RMI  | Conformant            |
| Gold         | Gold Coast Refinery                                     | Gold Coast Refinery                                     | Ghana                  | CID003186                     | RMI  | Known                 |
| Gold         | Gold Refinery of Zijin Mining Group Co., Ltd.           | Gold Refinery of Zijin Mining Group Co., Ltd.           | China                  | CID002243                     | RMI  | Conformant            |
| Gold         | Great Wall Precious Metals Co., Ltd. of CBPM            | Great Wall Precious Metals Co., Ltd. of CBPM            | China                  | CID001909                     | RMI  | Known                 |
| Tin          | Guangdong Hanhe Non-Ferrous Metal Co., Ltd.             | Guangdong Hanhe Non-Ferrous Metal Co., Ltd.             | China                  | CID003116                     | RMI  | Conformant            |
| Gold         | Guangdong Jinding Gold Limited                          | Guangdong Jinding Gold Limited                          | China                  | CID002312                     | RMI  | Known                 |
| Tungsten     | Guangdong Xiangu Tu Tungsten Co., Ltd.                  | Guangdong Xiangu Tu Tungsten Co., Ltd.                  | China                  | CID000218                     | RMI  | Conformant            |
| Gold         | Guoda Safina High-Tech Environmental Refinery Co., Ltd. | Guoda Safina High-Tech Environmental Refinery Co., Ltd. | China                  | CID000651                     | RMI  | Known                 |
| Tungsten     | H.C. Starck Tungsten GmbH                               | H.C. Starck Tungsten GmbH                               | Germany                | CID002541                     | RMI  | Conformant            |
| Gold         | Hangzhou Fuchunjiang Smelting Co., Ltd.                 | Hangzhou Fuchunjiang Smelting Co., Ltd.                 | China                  | CID000671                     | RMI  | Known                 |
| Tungsten     | HANNAE FOR T Co., Ltd.                                  | HANNAE FOR T Co., Ltd.                                  | Korea, Republic Of     | CID003978                     | RMI  | Known                 |
| Gold         | Heimerle + Meule GmbH                                   | Heimerle + Meule GmbH                                   | Germany                | CID000694                     | RMI  | Conformant            |

| Metal    | Smelter Reference List   | Smelter Name   | Smelter Country                       | Smelter Identification | Source of Smelter Identification Number | Smelter Status |
|----------|--|--|---------------------------------------|------------------------|---|----------------|
| Tantalum | Hengyang King Xing Lifeng New Materials Co., Ltd.                              | Hengyang King Xing Lifeng New Materials Co., Ltd.                              | China                                 | CID002492              | RMI                                     | Conformant     |
| Gold     | Heraeus Germany GmbH Co. KG  | Heraeus Germany GmbH Co. KG  | Germany                               | CID000711              | RMI                                     | Conformant     |
| Gold     | Heraeus Metals Hong Kong Ltd.  | Heraeus Metals Hong Kong Ltd.  | China                                 | CID000707              | RMI                                     | Conformant     |
| Tungsten | Hubei Green Tungsten Co., Ltd.   | Hubei Green Tungsten Co., Ltd.   | China                                 | CID003417              | RMI                                     | Conformant     |
| Tungsten | Hunan Chenzhou Mining Co., Ltd.  | Hunan Chenzhou Mining Co., Ltd.  | China                                 | CID000766              | RMI                                     | Conformant     |
| Gold     | Hunan Chenzhou Mining Co., Ltd.  | Hunan Chenzhou Mining Co., Ltd.  | China                                 | CID000767              | RMI                                     | Known          |
| Gold     | Hunan Guiyang yinxing Nonferrous Smelting Co., Ltd.                            | Hunan Guiyang yinxing Nonferrous Smelting Co., Ltd.                            | China                                 | CID000773              | RMI                                     | Known          |
| Tungsten | Hunan Jintai New Material Co., Ltd.  | Hunan Jintai New Material Co., Ltd.  | China                                 | CID000769              | RMI                                     | Known          |
| Tungsten | Hunan Shizhuyuan Nonferrous Metals Co., Ltd. Chenzhou Tungsten Products Branch | Hunan Shizhuyuan Nonferrous Metals Co., Ltd. Chenzhou Tungsten Products Branch | China                                 | CID002513              | RMI                                     | Conformant     |
| Gold     | HwaSeong CJ CO., LTD.  | HwaSeong CJ CO., LTD.  | Korea, Republic Of Russian Federation | CID000778              | RMI                                     | Known          |
| Tungsten | Hydrometallurg, JSC Industrial Refining Company                                | Hydrometallurg, JSC Industrial Refining Company                                | Belgium                               | CID002649              | RMI                                     | Known          |
| Gold     | Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd.                | Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd.                | China                                 | CID000801              | RMI                                     | Conformant     |
| Gold     | International Precious Metal Refiners  | International Precious Metal Refiners  | United Arab Emirates                  | CID002562              | RMI                                     | Known          |
| Gold     | Ishifuku Metal Industry Co., Ltd.  | Ishifuku Metal Industry Co., Ltd.  | Japan                                 | CID000807              | RMI                                     | Conformant     |
| Gold     | Istanbul Gold Refinery   | Istanbul Gold Refinery   | Turkey                                | CID000814              | RMI                                     | Conformant     |
| Gold     | Italpreziosi   | Italpreziosi   | Italy                                 | CID002765              | RMI                                     | Conformant     |
| Gold     | JALAN & Company  | JALAN & Company  | India                                 | CID002893              | RMI                                     | Known          |
| Gold     | Japan Mint   | Japan Mint   | Japan                                 | CID000823              | RMI                                     | Conformant     |
| Tungsten | Japan New Metals Co., Ltd.   | Japan New Metals Co., Ltd.   | Japan                                 | CID000825              | RMI                                     | Conformant     |
| Tungsten | Jiangwu H.C. Starck Tungsten Products Co., Ltd.                                | Jiangwu H.C. Starck Tungsten Products Co., Ltd.                                | China                                 | CID002551              | RMI                                     | Conformant     |
| Gold     | Jiangxi Copper Co., Ltd.   | Jiangxi Copper Co., Ltd.   | China                                 | CID000855              | RMI                                     | Conformant     |
| Tantalum | Jiangxi Dinghai Tantalum & Niobium Co., Ltd.                                   | Jiangxi Dinghai Tantalum & Niobium Co., Ltd.                                   | China                                 | CID002512              | RMI                                     | Conformant     |
| Tungsten | Jiangxi Gan Bei Tungsten Co., Ltd.   | Jiangxi Gan Bei Tungsten Co., Ltd.   | China                                 | CID002321              | RMI                                     | Conformant     |
| Tungsten | Jiangxi Minmetals Gao'an Non-ferrous Metals Co., Ltd.                          | Jiangxi Minmetals Gao'an Non-ferrous Metals Co., Ltd.                          | China                                 | CID002313              | RMI                                     | Known          |

| Metal    | Smelter Reference List  | Smelter Name  | Smelter Country             | Smelter Identification | Source of Smelter Identification Number | Smelter Status |
|----------|---|---|-----------------------------|------------------------|---|----------------|
| Tin      | Jiangxi New Nanshan Technology Ltd.                           | Jiangxi New Nanshan Technology Ltd.                           | China                       | CID001231              | RMI                                     | Conformant     |
| Tungsten | Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd. | Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd. | China                       | CID002318              | RMI                                     | Conformant     |
| Tantalum | Jiangxi Tuohong New Raw Material                              | Jiangxi Tuohong New Raw Material                              | China                       | CID002842              | RMI                                     | Conformant     |
| Tungsten | Jiangxi Xinsheng Tungsten Industry Co., Ltd.                  | Jiangxi Xinsheng Tungsten Industry Co., Ltd.                  | China                       | CID002317              | RMI                                     | Conformant     |
| Tungsten | Jiangxi Yaosheng Tungsten Co., Ltd.                           | Jiangxi Yaosheng Tungsten Co., Ltd.                           | China                       | CID002316              | RMI                                     | Conformant     |
| Tantalum | JiuJiang JinXin Nonferrous Metals Co., Ltd.                   | JiuJiang JinXin Nonferrous Metals Co., Ltd.                   | China                       | CID000914              | RMI                                     | Conformant     |
| Tantalum | Jiujiang Tanbre Co., Ltd.                                     | Jiujiang Tanbre Co., Ltd.                                     | China                       | CID000917              | RMI                                     | Conformant     |
| Tantalum | Jiujiang Zhongao Tantalum & Niobium Co., Ltd.                 | Jiujiang Zhongao Tantalum & Niobium Co., Ltd.                 | China                       | CID002506              | RMI                                     | Conformant     |
| Tungsten | JSC "Kirovgrad Hard Alloys Plant"                             | JSC "Kirovgrad Hard Alloys Plant"                             | Russian Federation          | CID003408              | RMI                                     | Known          |
| Gold     | JSC Ekaterinburg Non-Ferrous Metal Processing Plant           | JSC Ekaterinburg Non-Ferrous Metal Processing Plant           | Russian Federation          | CID000927              | RMI                                     | Known          |
| Gold     | JSC Novosibirsk Refinery                                      | JSC Novosibirsk Refinery                                      | Russian Federation          | CID000493              | RMI                                     | Known          |
| Gold     | JSC Uralelectromed  | JSC Uralelectromed  | Russian Federation          | CID000929              | RMI                                     | Known          |
| Gold     | JX Nippon Mining & Metals Co., Ltd.                           | JX Nippon Mining & Metals Co., Ltd.                           | Japan                       | CID000937              | RMI                                     | Conformant     |
| Gold     | K.A. Rasmussen Kaloti Precious Metals                         | K.A. Rasmussen Kaloti Precious Metals                         | Norway United Arab Emirates | CID003497              | RMI                                     | Known          |
| Gold     | Kazakhmys Smelting LLC  | Kazakhmys Smelting LLC  | Kazakhstan                  | CID002563              | RMI                                     | Known          |
| Gold     | Kazzinc   | Kazzinc   | Kazakhstan                  | CID000956              | RMI                                     | Known          |
| Tantalum | KEMET de Mexico   | KEMET de Mexico   | Mexico                      | CID000957              | RMI                                     | Conformant     |
| Tungsten | Kennametal Fallon Kennametal                                  | Kennametal Fallon Kennametal                                  | United States Of America    | CID000966              | RMI                                     | Conformant     |
| Tungsten | Huntsville  | Huntsville  | United States Of America    | CID000105              | RMI                                     | Conformant     |
| Gold     | Kennecott Utah Copper LLC                                     | Kennecott Utah Copper LLC                                     | United States Of America    | CID000969              | RMI                                     | Conformant     |
| Gold     | KGHM Polska Miedz Spolka Akcyjna                              | KGHM Polska Miedz Spolka Akcyjna                              | Poland                      | CID002511              | RMI                                     | Conformant     |
| Gold     | Kojima Chemicals Co., Ltd.                                    | Kojima Chemicals Co., Ltd.                                    | Japan                       | CID000981              | RMI                                     | Conformant     |
| Gold     | Korea Zinc Co., Ltd.  | Korea Zinc Co., Ltd.  | Korea, Republic Of          | CID002605              | RMI                                     | Conformant     |
| Gold     | Kundan Care Products Ltd.                                     | Kundan Care Products Ltd.                                     | India                       | CID003463              | RMI                                     | Known          |
| Gold     | Kyrgyzaltyn JSC   | Kyrgyzaltyn JSC   | Kyrgyzstan                  | CID001029              | RMI                                     | Known          |
| Gold     | Kyshtym Copper-Electrolytic Plant ZAO                         | Kyshtym Copper-Electrolytic Plant ZAO                         | Russian Federation          | CID002865              | RMI                                     | Known          |

| <b>Metal</b> | <b>Smelter Reference List</b>                | <b>Smelter Name</b>                          | <b>Smelter Country</b>    | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|--|--|---------------------------|-------------------------------|--|-----------------------|
| Gold         | L'azurde Company For Jewelry                 | L'azurde Company For Jewelry                 | Saudi Arabia              | CID001032                     | RMI  | Known                 |
| Tungsten     | Lianyou Metals Co., Ltd.                     | Lianyou Metals Co., Ltd.                     | Taiwan, Province Of China | CID003407                     | RMI  | Conformant            |
| Gold         | Lingbao Gold Co., Ltd.                       | Lingbao Gold Co., Ltd.                       | China                     | CID001056                     | RMI  | Known                 |
| Gold         | Lingbao Jinyuan Tonghui Refinery Co., Ltd.   | Lingbao Jinyuan Tonghui Refinery Co., Ltd.   | China                     | CID001058                     | RMI  | Known                 |
| Tungsten     | LLC Vostok                                   | LLC Vostok                                   | Russian Federation        | CID003643                     | RMI  | Known                 |
| Gold         | L'Orfebre S.A.                               | L'Orfebre S.A.                               | Andorra                   | CID002762                     | RMI  | Conformant            |
| Gold         | LS-NIKKO Copper Inc.                         | LS-NIKKO Copper Inc.                         | Korea, Republic Of        | CID001078                     | RMI  | Conformant            |
| Gold         | LT Metal Ltd.                                | LT Metal Ltd.                                | Republic Of               | CID000689                     | RMI  | Conformant            |
| Tin          | Luna Smelter, Ltd.                           | Luna Smelter, Ltd.                           | Rwanda                    | CID003387                     | RMI  | Conformant            |
| Gold         | Luoyang Zijin Yinhui Gold Refinery Co., Ltd. | Luoyang Zijin Yinhui Gold Refinery Co., Ltd. | China                     | CID001093                     | RMI  | Known                 |
| Tin          | Magnu's Minerai                              | Magnu's Minerai                              | Brazil                    | CID002468                     | RMI  | Conformant            |
| Tin          | Malaysia Smelting Corporation (MSC)          | Malaysia Smelting Corporation (MSC)          | Malaysia                  | CID001105                     | RMI  | Conformant            |
| Tungsten     | Malipo Haiyu Tungsten Co., Ltd.              | Malipo Haiyu Tungsten Co., Ltd.              | China                     | CID002319                     | RMI  | Conformant            |
| Gold         | Marsam Metals                                | Marsam Metals                                | Brazil                    | CID002606                     | RMI  | Known                 |
| Tungsten     | Masan High-Tech Materials                    | Masan High-Tech Materials                    | Viet Nam                  | CID002543                     | RMI  | Conformant            |
| Gold         | Materion                                     | Materion                                     | United States             | CID001113                     | RMI  | Conformant            |
| Tantalum     | Materion Newton Inc.                         | Materion Newton Inc.                         | United States             | CID002548                     | RMI  | Conformant            |
| Gold         | Matsuda Sangyo Co., Ltd.                     | Matsuda Sangyo Co., Ltd.                     | Japan                     | CID001119                     | RMI  | Conformant            |
| Gold         | MD Overseas                                  | MD Overseas                                  | India                     | CID003548                     | RMI  | Known                 |
| Tin          | Melt Metais e Ligas S.A.                     | Melt Metais e Ligas S.A.                     | Brazil                    | CID002500                     | RMI  | Known                 |
| Gold         | Metal Concentrators SA (Pty) Ltd.            | Metal Concentrators SA (Pty) Ltd.            | South Africa              | CID003575                     | RMI  | Conformant            |
| Tin          | Metallic Resources, Inc.                     | Metallic Resources, Inc.                     | United States             | CID001142                     | RMI  | Conformant            |
| Gold         | Metallix Refining Inc.                       | Metallix Refining Inc.                       | United States             | CID003557                     | RMI  | Known                 |
| Tantalum     | Metallurgical Products India Pvt., Ltd.      | Metallurgical Products India Pvt., Ltd.      | India                     | CID001163                     | RMI  | Conformant            |
| Gold         | Metalor Technologies (Hong Kong) Ltd.        | Metalor Technologies (Hong Kong) Ltd.        | China                     | CID001149                     | RMI  | Conformant            |
| Gold         | Metalor Technologies (Singapore) Pte., Ltd.  | Metalor Technologies (Singapore) Pte., Ltd.  | Singapore                 | CID001152                     | RMI  | Conformant            |
| Gold         | Metalor Technologies (Suzhou) Ltd.           | Metalor Technologies (Suzhou) Ltd.           | China                     | CID001147                     | RMI  | Conformant            |

| <b>Metal</b> | <b>Smelter Reference List</b>                                 | <b>Smelter Name</b>   | <b>Smelter Country</b>               | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|---|---|--------------------------------------|-------------------------------|--|-----------------------|
| Gold         | Metalor Technologies S.A. Metalor USA                         | Metalor Technologies S.A. Metalor USA                         | Switzerland United States            | CID001153                     | RMI  | Conformant            |
| Gold         | Refining Corporation Metalurgica Met-Mex Penoles S.A. De C.V. | Refining Corporation Metalurgica Met-Mex Penoles S.A. De C.V. | Of America                           | CID001157                     | RMI  | Conformant            |
| Gold         | Mineracao Taboca S.A.   | Mineracao Taboca S.A.   | Mexico                               | CID001161                     | RMI  | Conformant            |
| Tin          | Mineracao Taboca S.A.   | Mineracao Taboca S.A.   | Brazil                               | CID001173                     | RMI  | Conformant            |
| Tantalum     | S.A.  | S.A.  | Brazil Congo, Democratic Republic Of | CID001175                     | RMI  | Conformant            |
| Tin          | Mining Minerals Resources SARM                                | Mining Minerals Resources SARM                                | The                                  | CID004065                     | RMI  | Conformant            |
| Tin          | Minsur  | Minsur  | Peru                                 | CID001182                     | RMI  | Conformant            |
| Gold         | Mitsubishi Materials Corporation                              | Mitsubishi Materials Corporation                              | Japan                                | CID001188                     | RMI  | Conformant            |
| Tin          | Mitsubishi Materials Corporation                              | Mitsubishi Materials Corporation                              | Japan                                | CID001191                     | RMI  | Conformant            |
| Tantalum     | Mitsui Mining and Smelting Co., Ltd.                          | Mitsui Mining and Smelting Co., Ltd.                          | Japan                                | CID001192                     | RMI  | Conformant            |
| Gold         | Mitsui Mining and Smelting Co., Ltd.                          | Mitsui Mining and Smelting Co., Ltd.                          | Japan                                | CID001193                     | RMI  | Conformant            |
| Gold         | MKS PAMP SA   | MKS PAMP SA   | Switzerland                          | CID001352                     | RMI  | Conformant            |
| Gold         | MMTC-PAMP India Pvt., Ltd.                                    | MMTC-PAMP India Pvt., Ltd.                                    | India                                | CID002509                     | RMI  | Conformant            |
| Gold         | Modeltech Sdn Bhd   | Modeltech Sdn Bhd   | Malaysia                             | CID002857                     | RMI  | Known                 |
| Tin          | Modeltech Sdn Bhd   | Modeltech Sdn Bhd   | Malaysia                             | CID002858                     | RMI  | Known                 |
| Tungsten     | Moliren Ltd.  | Moliren Ltd.  | Russian Federation                   | CID002845                     | RMI  | Known                 |
| Gold         | Morris and Watson Moscow Special Alloys Processing Plant      | Morris and Watson Moscow Special Alloys Processing Plant      | New Zealand                          | CID002282                     | RMI  | Known                 |
| Gold         | Nadir Metal Refineri San. Ve Tic. A.S.                        | Nadir Metal Refineri San. Ve Tic. A.S.                        | Russian Federation                   | CID001204                     | RMI  | Known                 |
| Gold         | Nam Viet Cromit   | Nam Viet Cromit   | Turkey                               | CID001220                     | RMI  | Conformant            |
| Tungsten     | Joint Stock Company Navoi Mining and Metallurgical Combinat   | Joint Stock Company Navoi Mining and Metallurgical Combinat   | Viet Nam                             | CID004034                     | RMI  | Known                 |
| Gold         | Nghe Tinh Non-Ferrous Metals Joint Stock Company              | Nghe Tinh Non-Ferrous Metals Joint Stock Company              | Uzbekistan                           | CID001236                     | RMI  | Conformant            |
| Tin          | NH Recytech Company   | NH Recytech Company   | Viet Nam                             | CID002573                     | RMI  | Known                 |
| Gold         | Niagara Refining LLC  | Niagara Refining LLC  | Korea, Republic Of                   | CID003189                     | RMI  | Conformant            |
| Tungsten     | Nihon Material Co., Ltd.                                      | Nihon Material Co., Ltd.                                      | United States Of America             | CID002589                     | RMI  | Conformant            |
| Gold         | Ningxia Orient Tantalum Industry Co., Ltd.                    | Ningxia Orient Tantalum Industry Co., Ltd.                    | Japan                                | CID001259                     | RMI  | Conformant            |
| Tantalum     | Novosibirsk Tin Combine                                       | Novosibirsk Tin Combine                                       | China                                | CID001277                     | RMI  | Conformant            |
| Tin          | NPM Silmet AS   | NPM Silmet AS   | Russian Federation                   | CID001305                     | RMI  | Known                 |
| Tantalum     |   |   | Estonia                              | CID001200                     | RMI  | Conformant            |

| <b>Metal</b> | <b>Smelter Reference List</b>   | <b>Smelter Name</b>   | <b>Smelter Country</b>           | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|---|---|----------------------------------|-------------------------------|--|-----------------------|
| Tungsten     | NPP Tyazhmetprom LLC  | NPP Tyazhmetprom LLC  | Russian Federation               | CID003416                     | RMI  | Known                 |
| Tin          | O.M. Manufacturing (Thailand) Co., Ltd.                                     | O.M. Manufacturing (Thailand) Co., Ltd.                                     | Thailand                         | CID001314                     | RMI  | Conformant            |
| Tin          | O.M. Manufacturing Philippines, Inc.  | O.M. Manufacturing Philippines, Inc.  | Philippines                      | CID002517                     | RMI  | Conformant            |
| Gold         | Ogussa<br>Osterreichische Gold- und Silber-Scheideanstalt GmbH              | Ogussa<br>Osterreichische Gold- und Silber-Scheideanstalt GmbH              | Austria                          | CID002779                     | RMI  | Conformant            |
| Gold         | Ohura Precious Metal Industry Co., Ltd.                                     | Ohura Precious Metal Industry Co., Ltd.                                     | Japan                            | CID001325                     | RMI  | Conformant            |
| Gold         | OJSC "The Gulidov Krasnoyarsk Non-Ferrous Metals Plant" (OJSC Krastsvetmet) | OJSC "The Gulidov Krasnoyarsk Non-Ferrous Metals Plant" (OJSC Krastsvetmet) | Russian Federation               | CID001326                     | RMI  | Known                 |
| Tungsten     | OOO "Technolom" 1   | OOO "Technolom" 1   | Russian Federation               | CID003614                     | RMI  | Known                 |
| Tungsten     | OOO "Technolom" 2   | OOO "Technolom" 2   | Russian Federation               | CID003612                     | RMI  | Known                 |
| Tin          | Operaciones Metalurgicas S.A.   | Operaciones Metalurgicas S.A.   | Bolivia (Plurinational State Of) | CID001337                     | RMI  | Conformant            |
| Gold         | Pease & Curren Penglai Penggang Gold Industry Co., Ltd.                     | Pease & Curren Penglai Penggang Gold Industry Co., Ltd.                     | United States Of America         | CID002872                     | RMI  | Known                 |
| Gold         | Philippine Chuangxin Industrial Co., Inc.                                   | Philippine Chuangxin Industrial Co., Inc.                                   | China                            | CID001362                     | RMI  | Known                 |
| Tungsten     | Planta Recuperadora de Metales SpA  | Planta Recuperadora de Metales SpA  | Philippines                      | CID002827                     | RMI  | Conformant            |
| Gold         | Pongpipat Company Limited   | Pongpipat Company Limited   | Chile                            | CID002919                     | RMI  | Conformant            |
| Tin          | PowerX Ltd.   | PowerX Ltd.   | Myanmar                          | CID003208                     | RMI  | Known                 |
| Tantalum     | Precious Minerals and Smelting Limited                                      | Precious Minerals and Smelting Limited                                      | Rwanda                           | CID004054                     | RMI  | Conformant            |
| Tin          | Prioksky Plant of Non-Ferrous Metals  | Prioksky Plant of Non-Ferrous Metals  | India                            | CID003409                     | RMI  | Active                |
| Gold         | PT Aneka Tambang (Persero) Tbk  | PT Aneka Tambang (Persero) Tbk  | Russian Federation               | CID001386                     | RMI  | Known                 |
| Gold         | PT Aries Kencana Sejahtera  | PT Aries Kencana Sejahtera  | Indonesia                        | CID001397                     | RMI  | Conformant            |
| Tin          | PT Artha Cipta Langgeng   | PT Artha Cipta Langgeng   | Indonesia                        | CID000309                     | RMI  | Conformant            |
| Tin          | PT ATD Makmur   | PT ATD Makmur   | Indonesia                        | CID001399                     | RMI  | Conformant            |
| Tin          | Mandiri Jaya  | Mandiri Jaya  | Indonesia                        | CID002503                     | RMI  | Conformant            |
| Tin          | PT Babel Inti Perkasa   | PT Babel Inti Perkasa   | Indonesia                        | CID001402                     | RMI  | Conformant            |
| Tin          | PT Babel Surya Alam Lestari   | PT Babel Surya Alam Lestari   | Indonesia                        | CID001406                     | RMI  | Conformant            |
| Tin          | PT Bangka Prima Tin   | PT Bangka Prima Tin   | Indonesia                        | CID002776                     | RMI  | Conformant            |
| Tin          | PT Bangka Serumpun  | PT Bangka Serumpun  | Indonesia                        | CID003205                     | RMI  | Conformant            |
| Tin          | PT Bangka Tin Industry  | PT Bangka Tin Industry  | Indonesia                        | CID001419                     | RMI  | Active                |
| Tin          | PT Belitung Industri Sejahtera  | PT Belitung Industri Sejahtera  | Indonesia                        | CID001421                     | RMI  | Conformant            |



| <b>Metal</b> | <b>Smelter Reference List</b>                        | <b>Smelter Name</b>                                  | <b>Smelter Country</b> | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|--|--|------------------------|-------------------------------|--|-----------------------|
| Tin          | PT Bukit Timah                                       | PT Bukit Timah                                       | Indonesia              | CID001428                     | RMI  | Conformant            |
| Tin          | PT Cipta Persada Mulia                               | PT Cipta Persada Mulia                               | Indonesia              | CID002696                     | RMI  | Conformant            |
| Tin          | PT Menara Cipta Mulia                                | PT Menara Cipta Mulia                                | Indonesia              | CID002835                     | RMI  | Conformant            |
| Tin          | PT Mitra Stania Prima                                | PT Mitra Stania Prima                                | Indonesia              | CID001453                     | RMI  | Conformant            |
| Tin          | PT Mitra Sukses Globalindo                           | PT Mitra Sukses Globalindo                           | Indonesia              | CID003449                     | RMI  | Conformant            |
| Tin          | PT Panca Mega Persada                                | PT Panca Mega Persada                                | Indonesia              | CID001457                     | RMI  | Known                 |
| Tin          | PT Premium Tin Indonesia                             | PT Premium Tin Indonesia                             | Indonesia              | CID000313                     | RMI  | Conformant            |
| Tin          | PT Prima Timah Utama                                 | PT Prima Timah Utama                                 | Indonesia              | CID001458                     | RMI  | Conformant            |
| Tin          | PT Putera Sarana Shakti (PT PSS)                     | PT Putera Sarana Shakti (PT PSS)                     | Indonesia              | CID003868                     | RMI  | Conformant            |
| Tin          | PT Rajawali Rimba Perkasa                            | PT Rajawali Rimba Perkasa                            | Indonesia              | CID003381                     | RMI  | Conformant            |
| Tin          | PT Refined Bangka Tin                                | PT Refined Bangka Tin                                | Indonesia              | CID001460                     | RMI  | Conformant            |
| Tin          | PT Sariwiguna Binasentosa                            | PT Sariwiguna Binasentosa                            | Indonesia              | CID001463                     | RMI  | Conformant            |
| Tin          | PT Stanindo Inti Perkasa                             | PT Stanindo Inti Perkasa                             | Indonesia              | CID001468                     | RMI  | Conformant            |
| Tin          | PT Sukses Inti Makmur                                | PT Sukses Inti Makmur                                | Indonesia              | CID002816                     | RMI  | Conformant            |
| Tin          | PT Timah Nusantara                                   | PT Timah Nusantara                                   | Indonesia              | CID001486                     | RMI  | Conformant            |
| Tin          | PT Timah Tbk Kundur                                  | PT Timah Tbk Kundur                                  | Indonesia              | CID001477                     | RMI  | Conformant            |
| Tin          | PT Timah Tbk Mentok                                  | PT Timah Tbk Mentok                                  | Indonesia              | CID001482                     | RMI  | Conformant            |
| Tin          | PT Tinindo Inter Nusa                                | PT Tinindo Inter Nusa                                | Indonesia              | CID001490                     | RMI  | Conformant            |
| Tin          | PT Tirus Putra Mandiri                               | PT Tirus Putra Mandiri                               | Indonesia              | CID002478                     | RMI  | Known                 |
| Tin          | PT Tommy Utama                                       | PT Tommy Utama                                       | Indonesia              | CID001493                     | RMI  | Conformant            |
| Gold         | PX Precinox S.A.                                     | PX Precinox S.A.                                     | Switzerland            | CID001498                     | RMI  | Conformant            |
| Gold         | QG Refining, LLC                                     | QG Refining, LLC                                     | United States          | CID003324                     | RMI  | Known                 |
| Tantalum     | QuantumClean Rand Refinery (Pty) Ltd.                | QuantumClean Rand Refinery (Pty) Ltd.                | United States          | CID001508                     | RMI  | Conformant            |
| Gold         | Refinery of Seemine Gold Co., Ltd.                   | Refinery of Seemine Gold Co., Ltd.                   | South Africa           | CID001512                     | RMI  | Conformant            |
| Gold         | REMONDIS PMR B.V.                                    | REMONDIS PMR B.V.                                    | China                  | CID000522                     | RMI  | Known                 |
| Gold         | Resind Industria e Comercio Ltda.                    | Resind Industria e Comercio Ltda.                    | Netherlands            | CID002582                     | RMI  | Conformant            |
| Tin          | Resind Industria e Comercio Ltda.                    | Resind Industria e Comercio Ltda.                    | Brazil                 | CID002706                     | RMI  | Conformant            |
| Tantalum     | RFH Yancheng Jinye New Material Technology Co., Ltd. | RFH Yancheng Jinye New Material Technology Co., Ltd. | Brazil                 | CID002707                     | RMI  | Conformant            |
| Tantalum     | Technology Co., Ltd.                                 | Technology Co., Ltd.                                 | China                  | CID003583                     | RMI  | Conformant            |
| Gold         | Royal Canadian Mint                                  | Royal Canadian Mint                                  | Canada                 | CID001534                     | RMI  | Conformant            |

| Metal    | Smelter Reference List                                  | Smelter Name  | Smelter Country              | Smelter Identification | Source of Smelter Identification Number | Smelter Status |
|----------|---|---|------------------------------|------------------------|---|----------------|
| Tin      | Rui Da Hung   | Rui Da Hung   | Taiwan, Province Of          | CID001539              | RMI                                     | Conformant     |
| Gold     | SAAMP   | SAAMP   | China                        | CID002761              | RMI                                     | Known          |
| Gold     | Sabin Metal Corp.                                       | Sabin Metal Corp.                                       | France                       | CID001546              | RMI                                     | Known          |
| Gold     | Safimet S.p.A   | Safimet S.p.A   | United States Of America     | CID002973              | RMI                                     | Known          |
| Gold     | SAFINA A.S.   | SAFINA A.S.   | Italy                        | CID002290              | RMI                                     | Conformant     |
| Gold     | Sai Refinery  | Sai Refinery  | Czechia                      | CID002853              | RMI                                     | Known          |
| Gold     | Sam Precious Metals                                     | Sam Precious Metals                                     | India                        | CID003666              | RMI                                     | Known          |
| Gold     | Samduck Precious Metals                                 | Samduck Precious Metals                                 | United Arab Emirates         | CID001555              | RMI                                     | Known          |
| Gold     | Samwon Metals Corp.                                     | Samwon Metals Corp.                                     | Korea, Republic Of           | CID001562              | RMI                                     | Known          |
| Gold     | SEMPSA Joyeria Plateria S.A.                            | SEMPSA Joyeria Plateria S.A.                            | Korea, Republic Of           | CID001585              | RMI                                     | Conformant     |
| Gold     | Shandong Gold Smelting Co., Ltd.                        | Shandong Gold Smelting Co., Ltd.                        | Spain                        | CID001916              | RMI                                     | Conformant     |
| Gold     | Shandong Humon Smelting Co., Ltd.                       | Shandong Humon Smelting Co., Ltd.                       | China                        | CID002525              | RMI                                     | Known          |
| Gold     | Shandong Tiancheng Biological Gold Industrial Co., Ltd. | Shandong Tiancheng Biological Gold Industrial Co., Ltd. | China                        | CID001619              | RMI                                     | Known          |
| Gold     | Shandong Zhaojin Gold & Silver Refinery Co., Ltd.       | Shandong Zhaojin Gold & Silver Refinery Co., Ltd.       | China                        | CID001622              | RMI                                     | Conformant     |
| Gold     | Shenzhen CuiLu Gold Co., Ltd.                           | Shenzhen CuiLu Gold Co., Ltd.                           | China                        | CID002750              | RMI                                     | Known          |
| Gold     | Shenzhen Zhonghenglong Real Industry Co., Ltd.          | Shenzhen Zhonghenglong Real Industry Co., Ltd.          | China                        | CID002527              | RMI                                     | Known          |
| Gold     | Shirpur Gold Refinery Ltd.                              | Shirpur Gold Refinery Ltd.                              | China                        | CID002588              | RMI                                     | Known          |
| Gold     | Sichuan Tianze Precious Metals Co., Ltd.                | Sichuan Tianze Precious Metals Co., Ltd.                | India                        | CID001736              | RMI                                     | Conformant     |
| Gold     | Singway Technology Co., Ltd.                            | Singway Technology Co., Ltd.                            | China                        | CID002516              | RMI                                     | Known          |
| Gold     | GG Refinery Ltd.  | GG Refinery Ltd.  | Taiwan, Province Of          | CID004506              | RMI                                     | Active         |
| Tantalum | Conghua Tantalum and Niobium Smeltry                    | Conghua Tantalum and Niobium Smeltry                    | China                        | CID000291              | RMI                                     | Conformant     |
| Tin      | HuiChang Hill Tin Industry Co., Ltd.                    | HuiChang Hill Tin Industry Co., Ltd.                    | China                        | CID002844              | RMI                                     | Conformant     |
| Gold     | Impala Refineries – Base Metals Refinery (BMR)          | Impala Refineries – Base Metals Refinery (BMR)          | Tanzania, United Republic Of | CID004604              | RMI                                     | Active         |
| Gold     | Impala Rustenburg Kenee Mining Corporation              | Impala Rustenburg Kenee Mining Corporation              | South Africa                 | CID004610              | RMI                                     | Active         |
| Tungsten | Vietnam Corporation                                     | Vietnam Corporation                                     | Viet Nam                     | CID004619              | RMI                                     | Active         |
| Tungsten | Lianyou Resources Co., Ltd.                             | Lianyou Resources Co., Ltd.                             | Taiwan, Province Of          | CID004397              | RMI                                     | Conformant     |

| <b>Metal</b> | <b>Smelter Reference List</b>   | <b>Smelter Name</b>   | <b>Smelter Country</b>   | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|---|---|--------------------------|-------------------------------|--|-----------------------|
| Tin          | Ma'anshan Weitai Tin Co., Ltd.<br>MALAMET<br>SMELTING SDN.<br>BHD.                          | Ma'anshan Weitai Tin Co., Ltd.<br>MALAMET<br>SMELTING SDN.<br>BHD.                          | China                    | CID003379                     | RMI  | Known                 |
| Tungsten     | Malaysia Smelting Corporation Berhad (Port Klang)   | Malaysia Smelting Corporation Berhad (Port Klang)   | Malaysia                 | CID004056                     | RMI  | Known                 |
| Tin          | NOBLE METAL SERVICES  | NOBLE METAL SERVICES  | United States Of America | CID004434                     | RMI  | Active                |
| Gold         | CV Tiga Sekawan   | PT Rajehan Ariq   | Indonesia                | CID003690                     | RMI  | Known                 |
| Tin          | Shinwon Tungsten (Fujian Shanghang) Co., Ltd.   | Shinwon Tungsten (Fujian Shanghang) Co., Ltd.   | China                    | CID002593                     | RMI  | Conformant            |
| Tungsten     | Takehara PVD Materials Plant / PVD Materials Division of MITSUI MINING & SMELTING CO., LTD. | Takehara PVD Materials Plant / PVD Materials Division of MITSUI MINING & SMELTING CO., LTD. | China                    | CID004430                     | RMI  | Conformant            |
| Tin          | SOE Shyolkovsky Factory of Secondary Precious Metals  | SOE Shyolkovsky Factory of Secondary Precious Metals  | Japan                    | CID004403                     | RMI  | Active                |
| Gold         | Solar Applied Materials Technology Corp. Solikamsk  | Solar Applied Materials Technology Corp. Solikamsk  | Russian Federation       | CID001756                     | RMI  | Known                 |
| Gold         | Magnesium Works OAO   | Magnesium Works OAO   | Taiwan, Province Of      | CID001761                     | RMI  | Conformant            |
| Tantalum     | Sovereign Metals State Research Institute Center for Physical Sciences and Technology       | Sovereign Metals State Research Institute Center for Physical Sciences and Technology       | China                    | CID001769                     | RMI  | Known                 |
| Gold         | Sudan Gold Refinery   | Sudan Gold Refinery   | India                    | CID003383                     | RMI  | Known                 |
| Gold         | Sumitomo Metal Mining Co., Ltd.   | Sumitomo Metal Mining Co., Ltd.   | Lithuania                | CID003153                     | RMI  | Known                 |
| Gold         | SungEel HiMetal Co., Ltd.   | SungEel HiMetal Co., Ltd.   | Sudan                    | CID002567                     | RMI  | Known                 |
| Gold         | Super Dragon Technology Co., Ltd.   | Super Dragon Technology Co., Ltd.   | Japan                    | CID001798                     | RMI  | Conformant            |
| Gold         | Super Ligas T.C.A S.p.A   | Super Ligas T.C.A S.p.A   | Korea, Republic Of       | CID002918                     | RMI  | Conformant            |
| Tantalum     | Taki Chemical Co., Ltd.   | Taki Chemical Co., Ltd.   | Taiwan, Province Of      | CID001810                     | RMI  | Known                 |
| Gold         | Tanaka Kikinzoku Kogyo K.K.   | Tanaka Kikinzoku Kogyo K.K.   | China                    | CID001810                     | RMI  | Known                 |
| Tin          | TANIOBIS Co., Ltd.  | TANIOBIS Co., Ltd.  | Brazil                   | CID002756                     | RMI  | Conformant            |
| Gold         | TANIOBIS GmbH   | TANIOBIS GmbH   | Italy                    | CID002580                     | RMI  | Conformant            |
| Tantalum     | TANIOBIS Japan Co., Ltd.  | TANIOBIS Japan Co., Ltd.  | Japan                    | CID001869                     | RMI  | Conformant            |
| Gold         | TANIOBIS GmbH & Co. KG  | TANIOBIS GmbH & Co. KG  | Japan                    | CID001875                     | RMI  | Conformant            |
| Tantalum     | TANIOBIS Smelting GmbH & Co. KG   | TANIOBIS Smelting GmbH & Co. KG   | Thailand                 | CID002544                     | RMI  | Conformant            |
| Tantalum     | TANIOBIS Smelting GmbH & Co. KG   | TANIOBIS Smelting GmbH & Co. KG   | Germany                  | CID002545                     | RMI  | Conformant            |
| Tantalum     | TANIOBIS Smelting GmbH & Co. KG   | TANIOBIS Smelting GmbH & Co. KG   | Germany                  | CID002549                     | RMI  | Conformant            |
| Tungsten     | TANIOBIS Smelting GmbH & Co. KG   | TANIOBIS Smelting GmbH & Co. KG   | Japan                    | CID002542                     | RMI  | Conformant            |
| Tantalum     | TANIOBIS Smelting GmbH & Co. KG   | TANIOBIS Smelting GmbH & Co. KG   | Germany                  | CID002550                     | RMI  | Conformant            |

| <b>Metal</b> | <b>Smelter Reference List</b>                               | <b>Smelter Name</b>   | <b>Smelter Country</b>   | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|---|---|--------------------------|-------------------------------|--|-----------------------|
| Tantalum     | Telex Metals  | Telex Metals  | United States            |                               |  |                       |
| Tin          | Thaisarco   | Thaisarco   | Of America               | CID001891                     | RMI  | Conformant            |
|              | Tin Smelting Branch of Yunnan Tin Co., Ltd.                 | Tin Smelting Branch of Yunnan Tin Co., Ltd.                 | Thailand                 | CID001898                     | RMI  | Conformant            |
| Tin          | Tin Technology & Refining                                   | Tin Technology & Refining                                   | China                    | CID002180                     | RMI  | Conformant            |
| Tin          | Tokuriki Honten Co., Ltd.                                   | Tokuriki Honten Co., Ltd.                                   | United States Of America | CID003325                     | RMI  | Conformant            |
| Gold         | Tongling Nonferrous Metals Group Co., Ltd.                  | Tongling Nonferrous Metals Group Co., Ltd.                  | Japan                    | CID001938                     | RMI  | Conformant            |
| Gold         | TOO Tau-Ken-Altyn   | TOO Tau-Ken-Altyn   | China                    | CID001947                     | RMI  | Known                 |
| Gold         | Torecom   | Torecom   | Kazakhstan               | CID002615                     | RMI  | Conformant            |
| Tungsten     | Tungsten Vietnam Joint Stock Company                        | Tungsten Vietnam Joint Stock Company                        | Korea, Republic Of       | CID001955                     | RMI  | Conformant            |
| Tin          | Tuyen Quang Non-Ferrous Metals Joint Stock Company          | Tuyen Quang Non-Ferrous Metals Joint Stock Company          | Viet Nam                 | CID003993                     | RMI  | Conformant            |
| Tantalum     | Ulba Metallurgical Plant JSC                                | Ulba Metallurgical Plant JSC                                | Viet Nam                 | CID002574                     | RMI  | Known                 |
| Gold         | Umicore Precious Metals Thailand Umicore S.A. Business Unit | Umicore Precious Metals Thailand Umicore S.A. Business Unit | Kazakhstan               | CID001969                     | RMI  | Conformant            |
| Gold         | Precious Metals Refining                                    | Precious Metals Refining                                    | Thailand                 | CID002314                     | RMI  | Known                 |
| Tungsten     | Unecha Refractory metals plant                              | Unecha Refractory metals plant                              | Belgium                  | CID001980                     | RMI  | Conformant            |
| Gold         | United Precious Metal Refining, Inc.                        | United Precious Metal Refining, Inc.                        | Russian Federation       | CID002724                     | RMI  | Known                 |
| Gold         | Valcambi S.A.   | Valcambi S.A.   | United States Of America | CID001993                     | RMI  | Conformant            |
| Tin          | VQB Mineral and Trading Group JSC                           | VQB Mineral and Trading Group JSC                           | Switzerland              | CID002003                     | RMI  | Conformant            |
| Gold         | WEEEREFINING  | WEEEREFINING  | Viet Nam                 | CID002015                     | RMI  | Known                 |
|              | Western Australian Mint (T/a The Perth Mint)                | Western Australian Mint (T/a The Perth Mint)                | France                   | CID003615                     | RMI  | Conformant            |
| Gold         | White Solder Metalurgia e Mineracao Ltda.                   | White Solder Metalurgia e Mineracao Ltda.                   | Australia                | CID002030                     | RMI  | Conformant            |
| Tin          | WIELAND   | WIELAND   | Brazil                   | CID002036                     | RMI  | Conformant            |
| Gold         | Edelmetalle GmbH  | Edelmetalle GmbH  | Germany                  | CID002778                     | RMI  | Conformant            |
| Tungsten     | Wolfram Bergbau und Hutten AG                               | Wolfram Bergbau und Hutten AG                               | Austria                  | CID002044                     | RMI  | Conformant            |
| Tungsten     | Xiamen Tungsten (H.C.) Co., Ltd.                            | Xiamen Tungsten (H.C.) Co., Ltd.                            | China                    | CID002320                     | RMI  | Conformant            |
| Tungsten     | Xiamen Tungsten Co., Ltd.                                   | Xiamen Tungsten Co., Ltd.                                   | China                    | CID002082                     | RMI  | Conformant            |
| Tantalum     | XIMEI RESOURCES (GUANGDONG) LIMITED                         | XIMEI RESOURCES (GUANGDONG) LIMITED                         | China                    | CID000616                     | RMI  | Conformant            |
| Tantalum     | XinXing HaoRong Electronic Material Co., Ltd.               | XinXing HaoRong Electronic Material Co., Ltd.               | China                    | CID002508                     | RMI  | Conformant            |

| <b>Metal</b> | <b>Smelter Reference List</b>                               | <b>Smelter Name</b>   | <b>Smelter Country</b> | <b>Smelter Identification</b> | <b>Source of Smelter Identification Number</b> | <b>Smelter Status</b> |
|--------------|---|---|------------------------|-------------------------------|--|-----------------------|
| Gold         | Yamakin Co., Ltd.<br>Yanling Jincheng<br>Tantalum & Niobium | Yamakin Co., Ltd.<br>Yanling Jincheng<br>Tantalum & Niobium | Japan                  | CID002100                     | RMI  | Conformant            |
| Tantalum     | Co., Ltd.<br>Yokohama Metal<br>Co., Ltd.                    | Co., Ltd.<br>Yokohama Metal<br>Co., Ltd.                    | China                  | CID001522                     | RMI  | Conformant            |
| Gold         | YUDU ANSHENG<br>TUNGSTEN CO.,<br>LTD.                       | YUDU ANSHENG<br>TUNGSTEN CO.,<br>LTD.                       | Japan                  | CID002129                     | RMI  | Conformant            |
| Tungsten     | Yunnan Chengfeng<br>Non-ferrous Metals<br>Co., Ltd.         | Yunnan Chengfeng<br>Non-ferrous Metals<br>Co., Ltd.         | China                  | CID003662                     | RMI  | Known                 |
| Tin          | Yunnan Copper<br>Industry Co., Ltd.                         | Yunnan Copper<br>Industry Co., Ltd.                         | China                  | CID002158                     | RMI  | Conformant            |
| Gold         | Yunnan Yunfan Non-<br>ferrous Metals Co.,<br>Ltd.           | Yunnan Yunfan Non-<br>ferrous Metals Co.,<br>Ltd.           | China                  | CID000197                     | RMI  | Known                 |
| Tin          | Zhongyuan Gold<br>Smelter of Zhongjin<br>Gold Corporation   | Zhongyuan Gold<br>Smelter of Zhongjin<br>Gold Corporation   | China                  | CID003397                     | RMI  | Conformant            |
| Gold         |   |   | China                  | CID002224                     | RMI  | Conformant            |