

## Telefonaktiebolaget LM Ericsson

### Conflict Minerals Report for the year ended December 31, 2019

This Conflict Minerals Report of Telefonaktiebolaget LM Ericsson for the year ended December 31, 2019 is provided pursuant to Rule 13p-1 under the Securities Exchange Act of 1934, as amended (the “Rule”). The Rule was adopted by the U.S. Securities and Exchange Commission (the “SEC”) to implement disclosure and reporting requirements pursuant to Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010. As permitted by the Rule and the SEC, this report has not been subject to an independent private sector audit.

#### 1. Introduction

Ericsson is a global provider of hardware, software and services – especially in networks, digital services, managed services and new businesses – to the telecom industry and other sectors to enable the full value of connectivity. This report has been prepared by the management of Telefonaktiebolaget LM Ericsson (herein referred to as “Ericsson”, the “Company”, “we”, “us”, or “our”). This report does not include the activities of entities that are not required to be consolidated in our financial statements. In accordance with the Rule, this report is available on our website: <http://www.ericsson.com/thecompany/investors/financial-reports>.

#### 2. Supply Chain Description and Reasonable Country of Origin Inquiry

##### 2.1 General information on Ericsson’s supply chain

Ericsson’s hardware largely consists of electronics. For manufacturing, the Company purchases customized and standardized components and services from both global, regional and local suppliers. The production of electronic modules and sub-assemblies is mostly outsourced to manufacturing services companies. Ericsson is focusing internal manufacturing on new product introductions and new technologies.

There are often several tiers of suppliers between Ericsson and any smelters or refiners of minerals; even more when tracing a mineral all the way back to the mines. As a result, the Company does not normally have a direct purchasing relationship with mines, smelters or refiners.

##### 2.2 Overview of Ericsson’s Conflict Minerals Program and Reasonable Country of Origin Inquiry

Ericsson gathers materials information from our suppliers. Through this we know that many of the components used on our products contain small amounts of 3TG that are necessary to the functionality of those products.

As part of Ericsson’s commitment to responsible sourcing and human rights it is our goal that the 3TG in our products should not, directly or indirectly, finance or benefit armed groups in the Democratic Republic of Congo (the “DRC”), or adjoining countries. At the same time, we aim to continue supporting responsible mineral sourcing in the region. Ericsson’s efforts with respect to 3TG are aligned with the Responsible Minerals Initiative (RMI) and our aim is to improve traceability in our supply chain. Ericsson does not prohibit sourcing of materials from the DRC or adjoining countries or avoid using 3TGs since Ericsson believes that such a ban could result in negative consequences for responsible mining companies, their workers and the most vulnerable groups in a society. The Company has a Conflict Minerals Program to fulfill compliance with the Rule, including performing the Reasonable Country of Origin Inquiry and reporting on 3TG.

Ericsson relies on its first-tier suppliers to provide information on the origin of 3TG contained in components and parts included in Ericsson’s products. This includes sources of 3TG that are supplied to them from sub-suppliers. Ericsson’s first-tier suppliers are required to comply with the requirements in

Ericsson's Code of Conduct for Business Partners which requires due diligence to be exercised with respect to the sourcing and extraction of raw materials, including 3TG.

Ericsson's suppliers' due diligence shall be consistent with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas and the related Supplements for gold and for tin, tantalum and tungsten (the "OECD Guidance"). Furthermore, suppliers are required to comply with the requirements of the Ericsson Lists of Banned and Restricted Substances, which include an obligation to provide information on 3TG upon request and to have appropriate due diligence processes in place to identify the source and chain of custody of 3TG. Our first-tier suppliers are similarly to Ericsson reliant upon information provided by their suppliers.

The identification of first-tier suppliers of Ericsson that are in scope under the Rule involves different parts of Ericsson's global organization. The sourcing organization has an important role in leading and coordinating the work. Suppliers identified to be in scope are first-tier suppliers of Ericsson supplying (i) products containing 3TG that Ericsson contracts to manufacture, (ii) materials, parts, components and other products, containing 3TG, that are incorporated into or included in a product manufactured by Ericsson, or (iii) materials used in the production of Ericsson's products where 3TG becomes part of the final product. Suppliers of products that Ericsson does not contract to manufacture (i.e. products purchased "off-the shelf") and not included in or incorporated into an Ericsson product have been considered out of scope for purposes of the Rule. In our annual inquiry we survey first-tier suppliers identified to be in scope and analyze and follow up on the responses as we deem appropriate.

Ericsson believes that industry cooperation is one of the best ways to address issues related to 3TG in an efficient and transparent way. We typically do not have a direct relationship with 3TG smelters and refiners, and we do not perform direct audits of these entities within our supply chain. In accordance with the OECD Guidance, we support the RMI's audit of smelters' and refiners' due diligence activities mainly via the Responsible Minerals Assurance Process (RMAP).

### **3. Due Diligence**

Ericsson has a process in place for the purpose of exercising due diligence in the supply chain. The design of the due diligence processes conforms to the OECD Guidance as it relates to "downstream" purchasers of products and components. The due diligence processes have been described below under sub-headings corresponding to the five-step framework of the OECD Guidance. Ericsson's Conflict Minerals Program focuses on identifying the origin of 3TG; however, Ericsson acknowledges that other human rights and environmental risks, such as forced labor and child labor, health and safety, land-related rights and community rights are also salient relating to sourcing of 3TG. Ericsson is currently engaged in industry dialogues relating to these issues.

#### **3.1 Maintain strong management systems**

The first step of the OECD Guidance relates to strong management systems. As mentioned above, Ericsson has established a Conflict Minerals Program for reporting on 3TG and compliance with the Rule. Controls include, but are not limited to, our Code of Business Ethics and Code of Conduct for Business Partners, which outline required behaviors for all Ericsson's employees and suppliers (<https://www.ericsson.com/en/about-us/sustainability-and-corporate-responsibility/responsible-business/responsible-sourcing/supplier-requirements-related-to-responsible-sourcing>), and the Ericsson Lists of Banned and Restricted Substances, which include supplier requirements relating to 3TG as described above and are integrated in our template supplier agreements.

With respect to 2019, identification of smelters and refiners in our supply chain was made via the use of due diligence tools created by the RMI, including the Conflict Minerals Reporting Template 5.12 (the "Template"). The Template is a standardized supply chain survey designed to gather information

regarding the smelters and refiners that process 3TGs used in our supply chain. The information from our suppliers, in combination with information from the RMI, helps Ericsson to obtain information on the origin of minerals processed. Data obtained was reviewed, analyzed and retained by Ericsson.

In 2019 Ericsson issued an updated Code of Conduct for Business Partners where the topic of responsible sourcing of raw materials is included with clear requirements of suppliers to exercise due diligence in accordance with the OECD Guidance. Employees are encouraged to report violations of laws or the Code of Business Ethics to their manager or a manager of higher rank. In addition, Ericsson has a whistle-blower tool, Ericsson Compliance Line, managed by an external service provider, for the reporting of alleged violations of laws or the Code of Business Ethics that (i) are conducted by Group or local management, and (ii) relate to corruption, questionable accounting, deficiencies in the internal control of accounting or auditing matters or otherwise seriously affect vital interests of the Group or personal health and safety. Ericsson Compliance Line is available for both Ericsson employees and external stakeholders such as customers and suppliers. Ericsson recognizes that Ericsson Compliance Line might not be the most effective way of capturing issues related to sourcing of 3TG and intends to explore other mechanisms that may be more effective, like the Minerals Grievance Platform managed by RMI.

### **3.2 Identify and assess risk in the supply chain**

In the second step of the OECD Guidance, risks are identified and assessed. For downstream companies such as Ericsson, the focus should be on the smelters and refiners. Downstream companies should, with help from their first-tier suppliers, identify smelters and refiners in the supply chain.

In Ericsson's 2019 Conflict Minerals' survey, first-tier suppliers identified to be in scope were requested by Ericsson to provide information on 3TG in their supply chain through completing and submitting the Conflict Minerals Reporting Template. Suppliers were provided with support material, including the available instructions and training illustrating the use of the tool that is available on RMI's website. To ensure quality, a high response rate and to minimize risks, the responses were analyzed and followed up as deemed appropriate. Data obtained was saved, reviewed and analyzed by Ericsson. Supplier responses were reviewed against criteria developed to determine which responses required further engagement with our suppliers. In certain circumstances suppliers were contacted via e-mail or telephone to improve the quality of responses (obtaining missing information, updating CMRT format to the required version) and increase the response rate (reminding supplier to provide CMRT with extended deadlines).

### **3.3 Design and implement a strategy to respond to identified risks**

Under the third step of the OECD Guidance, companies are encouraged to design and implement a strategy to respond to identified risks. Due diligence within Ericsson is an ongoing process. Ericsson publishes additional information about its commitment to responsible sourcing and engagement with its suppliers in the Sustainability and Corporate Responsibility Report, published together with the Annual Report.

We continuously work to improve our due diligence with respect to 3TG, mainly focusing on the quality of data from suppliers surveyed. This includes communication and collaboration with suppliers for purposes of improving the response rate of surveyed suppliers and improving the reliability and quality of the information provided. As described above, we have a risk-based approach when reviewing and following up supplier responses and generally prioritize to follow up suppliers that are awarded large parts of our business. For example, if a supplier reports non-conformant smelters or refiners, the relevant sourcing responsible manager is notified for purposes of initiating a discussion with the supplier.

### **3.4 Independent third-party audit of smelters'/refiners' due diligence practices**

The fourth step of the OECD Guidance focuses on audits of smelters'/refiners' due diligence practices. Through our Responsible Business Alliance (RBA) membership we are also members of the RMI, supporting the responsible minerals assurance process ("RMAP") as well as the development and implementation of due diligence practices and tools such as the Template. Due to the structure of our supply chain, there are generally many tiers of suppliers between Ericsson and the smelters and refiners in the supply chain. Therefore, we have, as mentioned in section 2.2, not performed our own audits of smelters or refiners.

### **3.5 Report annually on supply chain due diligence**

The fifth step of the OECD Guidance encourages reporting on supply chain due diligence. We have a public statement on sourcing of minerals from Conflict Affected and High Risk Areas including 3TG; which is available on our website:

<https://www.ericsson.com/assets/local/about-ericsson/sustainability-and-corporate-responsibility/documents/statement-on-sourcing-of-conflict-minerals.pdf>

In accordance with the Rule, we make our Conflict Minerals Report available on our website:

<http://www.ericsson.com/thecompany/investors/financial-reports>.

**4. 2019 due diligence results**

For the calendar year 2019, our inquiries were made on supplier level and the majority of supplier responses received provided data at a company or divisional level with only few exceptions, that provided product level information. Our inquiries include responses where we believe that the names of smelters or refiners may have been misidentified as smelters and refiners or smelters or refiners that we believe are not operational. Such names have not been listed among identified smelters and refiners.

The response rate among suppliers surveyed in 2019 was 80%. This response rate includes suppliers to the Kathrein antenna and filter business that was acquired by Ericsson in October 2019. Among the supplier responses, we identified 338 smelters as potential sources of 3TG that were reported to be in the supply chain during the 2019 calendar year. The following table presents, by mineral, the percentages of identified smelters or refiners verified as conflict-free by the RMAP or mutually recognized audit systems. In case a supplier has identified non-conformant smelters in their supply chain Ericsson engages with such suppliers for them to phase-out such non-conformant smelters and refiner.

**Table 1.** Smelters and refiners identified by Ericsson via inquiries to our suppliers in 2019

| <b>Metal</b> | <b>Identified smelters or refiners validated by RMAP as conformant</b> | <b>Identified smelters or refiners participating in RMAP*</b> | <b>Other identified smelters or refiners**</b> | <b>Total number of identified smelters</b> |
|--------------|--|---|--|--|
| Tantalum     | 40   | 1   | 0  | 41   |
| Tungsten     | 44   | 6   | 2  | 52   |
| Tin          | 77   | 4   | 6  | 89   |
| Gold         | 107  | 5   | 39   | 156  |

**Note:** The RMAP audit status of smelters and refiners are subject to change and the above represents information available from RMI on April 30, 2020.

\* In the process of being audited or in communication but have not commenced the validation audit. (indicated as “active” or “in communication” in Annex 1)

\*\*Have not commenced the RMAP validation audit (indicated as “Outreach Required”, “Due Diligence Vetting Process”, “Communication Suspended - Not Interested” and “RMI Due Diligence Review - Unable to Proceed” in Annex 1)

We are unable to validate that any of the identified smelters or refiners are actually in our supply chain. However, based on the information provided by Ericsson’s suppliers during the 2019 calendar year, Ericsson believes that the facilities that may have been used to process the 3TG in Ericsson’s products include the smelters and refiners listed in Annex 1 below. Ericsson does not have enough information to determine with specificity all countries of origin of the 3TG in our products or whether they are from recycled and scrap sources. Nevertheless, based on data from RMI and RMAP, Ericsson generated a list of Reasonable Country of Origin (RCOI) for 3TGs based on smelters and refiners identified as shown in Annex 2

We support the refinement and expansion of the list of participating smelters and have determined that seeking information about 3TG 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 3TG in our supply chain.

During 2020, we anticipate continuing to review and evolve our Conflict Minerals due diligence processes with respect to 3TG. As part of these efforts, we expect to continue to collaborate with suppliers to maintain a high supplier response rate and improve the reliability and quality of information provided. Our engagement in the RMI program is anticipated to continue.

**5. Forward Looking Statements**

Certain of the matters discussed in this report, including our due diligence processes with respect to 3TG, include forward-looking statements. Readers of this document are cautioned that our forward-looking statements are not guarantees of our future actions, which may differ materially from the expectations expressed in the forward-looking statements. We expressly disclaim a duty to provide updates to these forward-looking statements after the date of this filing to reflect events or changes in circumstances or changes in expectations or the occurrence of anticipated events.

The information included on any websites that appear in this report and other materials referenced to is not incorporated by reference in this report.

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## Annex 1

Smelters and refiners identified by Ericsson via inquiries to our suppliers during 2019.<sup>1</sup>

| No. | Metal    | Smelter ID | Name of Smelter/Refiner                                       | Facility Location        | Audit Status                  |
|-----|----------|------------|---|--------------------------|-------------------------------|
| 1   | Gold     | CID002763  | 8853 S.p.A.   | ITALY                    | Conformant                    |
| 2   | Tungsten | CID000004  | A.L.M.T. Corp.  | JAPAN                    | Conformant                    |
| 3   | Gold     | CID002708  | Abington Reldan Metals, LLC                                   | UNITED STATES OF AMERICA | Non Conformant                |
| 4   | Tungsten | CID002833  | ACL Metais Eireli   | BRAZIL                   | Conformant                    |
| 5   | Gold     | CID000015  | Advanced Chemical Company                                     | UNITED STATES OF AMERICA | Conformant                    |
| 6   | Gold     | CID003185  | African Gold Refinery   | UGANDA                   | Outreach Required             |
| 7   | Gold     | CID000019  | Aida Chemical Industries Co., Ltd.                            | JAPAN                    | Conformant                    |
| 8   | Gold     | CID002560  | Al Etihad Gold Refinery DMCC                                  | UNITED ARAB EMIRATES     | Non Conformant                |
| 9   | Tungsten | CID003427  | Albasteel Industria e Comercio de Ligas Para Fundicao Ltd.    | BRAZIL                   | Active                        |
| 10  | Gold     | CID000035  | Allgemeine Gold-und Silberscheideanstalt A.G.                 | GERMANY                  | Conformant                    |
| 11  | Gold     | CID000041  | Almalyk Mining and Metallurgical Complex (AMMC)               | UZBEKISTAN               | Conformant                    |
| 12  | Tin      | CID000292  | Alpha   | UNITED STATES OF AMERICA | Conformant                    |
| 13  | Tin      | CID002703  | An Vinh Joint Stock Mineral Processing Company                | VIET NAM                 | Outreach Required             |
| 14  | Gold     | CID000058  | AngloGold Ashanti Corrego do Sitio Mineracao                  | BRAZIL                   | Conformant                    |
| 15  | Gold     | CID000077  | Argor-Heraeus S.A.  | SWITZERLAND              | Conformant                    |
| 16  | Gold     | CID000082  | Asahi Pretec Corp.  | JAPAN                    | Conformant                    |
| 17  | Gold     | CID000924  | Asahi Refining Canada Ltd.                                    | CANADA                   | Conformant                    |
| 18  | Gold     | CID000920  | Asahi Refining USA Inc.                                       | UNITED STATES OF AMERICA | Conformant                    |
| 19  | Gold     | CID000090  | Asaka Riken Co., Ltd.   | JAPAN                    | Conformant                    |
| 20  | Tantalum | CID000092  | Asaka Riken Co., Ltd.   | JAPAN                    | Conformant                    |
| 21  | Tungsten | CID002502  | Asia Tungsten Products Vietnam Ltd.                           | VIET NAM                 | Conformant                    |
| 22  | Gold     | CID000103  | Atasay Kuyumculuk Sanayi Ve Ticaret A.S.                      | TURKEY                   | Due Diligence Vetting Process |
| 23  | Gold     | CID002850  | AU Traders and Refiners                                       | SOUTH AFRICA             | Conformant                    |
| 24  | Gold     | CID000113  | Aurubis AG  | GERMANY                  | Conformant                    |
| 25  | Gold     | CID002863  | Bangalore Refinery  | INDIA                    | Conformant                    |
| 26  | Gold     | CID000128  | Bangko Sentral ng Pilipinas (Central Bank of the Philippines) | PHILIPPINES              | Conformant                    |
| 27  | Gold     | CID000157  | Boliden AB  | SWEDEN                   | Conformant                    |
| 28  | Gold     | CID000176  | C. Hafner GmbH + Co. KG                                       | GERMANY                  | Conformant                    |

<sup>1</sup> The audit status of smelters and refiners are subject to change and Annex 1 represents information available from the RMI on April 30, 2020.

**Exhibit 1.01 Conflict Minerals Report**

| No. | Metal    | Smelter ID | Name of Smelter/Refiner                             | Facility Location        | Audit Status                             |
|-----|----------|------------|---|--------------------------|--|
| 29  | Gold     | CID000180  | Caridad   | MEXICO                   | Communication Suspended - Not Interested |
| 30  | Gold     | CID000185  | CCR Refinery - Glencore Canada Corporation          | CANADA                   | Conformant                               |
| 31  | Gold     | CID000189  | Cendres + Metaux S.A.                               | SWITZERLAND              | Conformant                               |
| 32  | Gold     | CID003382  | CGR Metalloys Pvt Ltd.                              | INDIA                    | Outreach Required                        |
| 33  | Tantalum | CID000211  | Changsha South Tantalum Niobium Co., Ltd.           | CHINA                    | Conformant                               |
| 34  | Tungsten | CID002513  | Chenzhou Diamond Tungsten Products Co., Ltd.        | CHINA                    | Conformant                               |
| 35  | Tin      | CID000228  | Chenzhou Yunxiang Mining and Metallurgy Co., Ltd.   | CHINA                    | Conformant                               |
| 36  | Tin      | CID003190  | Chifeng Dajingzi Tin Industry Co., Ltd.             | CHINA                    | Conformant                               |
| 37  | Gold     | CID000233  | Chimet S.p.A.                                       | ITALY                    | Conformant                               |
| 38  | Tungsten | CID002641  | China Molybdenum Tungsten Co., Ltd.                 | CHINA                    | Conformant                               |
| 39  | Tin      | CID001070  | China Tin Group Co., Ltd.                           | CHINA                    | Conformant                               |
| 40  | Tungsten | CID000258  | Chongyi Zhangyuan Tungsten Co., Ltd.                | CHINA                    | Conformant                               |
| 41  | Gold     | CID000264  | Chugai Mining                                       | JAPAN                    | Conformant                               |
| 42  | Tungsten | CID000281  | CNMC (Guangxi) PGMA Co., Ltd.                       | CHINA                    | Outreach Required                        |
| 43  | Tantalum | CID003402  | CP Metals Inc.                                      | UNITED STATES OF AMERICA | Active                                   |
| 44  | Tungsten | CID003448  | CP Metals Inc.                                      | UNITED STATES OF AMERICA | Active                                   |
| 45  | Tin      | CID002570  | CV Ayi Jaya   | INDONESIA                | Conformant                               |
| 46  | Tin      | CID002592  | CV Dua Sekawan                                      | INDONESIA                | Conformant                               |
| 47  | Tin      | CID000306  | CV Gita Pesona                                      | INDONESIA                | Conformant                               |
| 48  | Tin      | CID000315  | CV United Smelting                                  | INDONESIA                | Conformant                               |
| 49  | Tin      | CID002455  | CV Venus Inti Perkasa                               | INDONESIA                | Conformant                               |
| 50  | Tantalum | CID002504  | D Block Metals, LLC                                 | UNITED STATES OF AMERICA | Conformant                               |
| 51  | Gold     | CID000328  | Daejin Indus Co., Ltd.                              | KOREA, REPUBLIC OF       | Conformant                               |
| 52  | Gold     | CID000343  | Daye Non-Ferrous Metals Mining Ltd.                 | CHINA                    | In Communication                         |
| 53  | Gold     | CID002867  | Degussa Sonne / Mond Goldhandel GmbH                | GERMANY                  | Outreach Required                        |
| 54  | Gold     | CID003348  | Dijllah Gold Refinery FZC                           | UNITED ARAB EMIRATES     | In Communication                         |
| 55  | Gold     | CID000362  | DODUCO Contacts and Refining GmbH                   | GERMANY                  | Conformant                               |
| 56  | Tin      | CID003356  | Dongguan CiEXPO Environmental Engineering Co., Ltd. | CHINA                    | Active                                   |
| 57  | Gold     | CID000401  | Dowa  | JAPAN                    | Conformant                               |
| 58  | Tin      | CID000402  | Dowa  | JAPAN                    | Conformant                               |
| 59  | Gold     | CID003195  | DS PRETECH Co., Ltd.                                | KOREA, REPUBLIC OF       | Conformant                               |
| 60  | Gold     | CID000359  | DSC (Do Sung Corporation)                           | KOREA, REPUBLIC OF       | Conformant                               |
| 61  | Gold     | CID000425  | Eco-System Recycling Co., Ltd.                      | JAPAN                    | Conformant                               |

**Exhibit 1.01 Conflict Minerals Report**

| No. | Metal    | Smelter ID | Name of Smelter/Refiner   | Facility Location                | Audit Status                  |
|-----|----------|------------|---|----------------------------------|-------------------------------|
| 62  | Gold     | CID003424  | Eco-System Recycling Co., Ltd. North Plant  | JAPAN                            | Conformant                    |
| 63  | Gold     | CID003425  | Eco-System Recycling Co., Ltd. West Plant   | JAPAN                            | Conformant                    |
| 64  | Tin      | CID002572  | Electro-Mechanical Facility of the Cao Bang Minerals & Metallurgy Joint Stock Company | VIET NAM                         | Non Conformant                |
| 65  | Tin      | CID000438  | EM Vinto  | BOLIVIA (PLURINATIONAL STATE OF) | Conformant                    |
| 66  | Gold     | CID002561  | Emirates Gold DMCC  | UNITED ARAB EMIRATES             | Conformant                    |
| 67  | Tin      | CID000448  | Estanho de Rondonia S.A.  | BRAZIL                           | In Communication              |
| 68  | Tantalum | CID000456  | Exotech Inc.  | UNITED STATES OF AMERICA         | Conformant                    |
| 69  | Tantalum | CID000460  | F&X Electro-Materials Ltd.  | CHINA                            | Conformant                    |
| 70  | Tin      | CID000468  | Fenix Metals  | POLAND                           | Conformant                    |
| 71  | Gold     | CID002515  | Fidelity Printers and Refiners Ltd.   | ZIMBABWE                         | Due Diligence Vetting Process |
| 72  | Tantalum | CID002505  | FIR Metals & Resource Ltd.  | CHINA                            | Conformant                    |
| 73  | Gold     | CID002584  | Fujairah Gold FZC   | UNITED ARAB EMIRATES             | Outreach Required             |
| 74  | Tungsten | CID003401  | Fujian Ganmin RareMetal Co., Ltd.   | CHINA                            | Conformant                    |
| 75  | Tungsten | CID000499  | Fujian Jinxin Tungsten Co., Ltd.  | CHINA                            | Conformant                    |
| 76  | Tungsten | CID002645  | Ganzhou Haichuang Tungsten Co., Ltd.  | CHINA                            | Conformant                    |
| 77  | Tungsten | CID000875  | Ganzhou Huaxing Tungsten Products Co., Ltd.   | CHINA                            | Conformant                    |
| 78  | Tungsten | CID002315  | Ganzhou Jiangwu Ferrotungsten Co., Ltd.   | CHINA                            | Conformant                    |
| 79  | Tungsten | CID002494  | Ganzhou Seadragon W & Mo Co., Ltd.  | CHINA                            | Conformant                    |
| 80  | Gold     | CID002852  | GCC Gujrat Gold Centre Pvt. Ltd.  | INDIA                            | Outreach Required             |
| 81  | Gold     | CID002459  | Geib Refining Corporation   | UNITED STATES OF AMERICA         | Conformant                    |
| 82  | Tin      | CID003410  | Gejiu City Fuxiang Industry and Trade Co., Ltd."                                      | CHINA                            | Outreach Required             |
| 83  | Tin      | CID002848  | Gejiu Fengming Metallurgy Chemical Plant  | CHINA                            | Conformant                    |
| 84  | Tin      | CID000942  | Gejiu Kai Meng Industry and Trade LLC   | CHINA                            | Conformant                    |
| 85  | Tin      | CID000538  | Gejiu Non-Ferrous Metal Processing Co., Ltd.  | CHINA                            | Conformant                    |
| 86  | Tin      | CID001908  | Gejiu Yunxin Nonferrous Electrolysis Co., Ltd.  | CHINA                            | Conformant                    |
| 87  | Tin      | CID000555  | Gejiu Zili Mining And Metallurgy Co., Ltd.  | CHINA                            | Conformant                    |
| 88  | Tungsten | CID003417  | GEM Co., Ltd.   | CHINA                            | In Communication              |
| 89  | Tantalum | CID002558  | Global Advanced Metals Aizu   | JAPAN                            | Conformant                    |
| 90  | Tantalum | CID002557  | Global Advanced Metals Boyertown  | UNITED STATES OF AMERICA         | Conformant                    |
| 91  | Tungsten | CID000568  | Global Tungsten & Powders Corp.   | UNITED STATES OF AMERICA         | Conformant                    |

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| No. | Metal    | Smelter ID | Name of Smelter/Refiner                                 | Facility Location        | Audit Status      |
|-----|----------|------------|---|--------------------------|-------------------|
| 92  | Gold     | CID002243  | Gold Refinery of Zijin Mining Group Co., Ltd.           | CHINA                    | Conformant        |
| 93  | Gold     | CID001909  | Great Wall Precious Metals Co., Ltd. of CBPM            | CHINA                    | Outreach Required |
| 94  | Tin      | CID003116  | Guangdong Hanhe Non-Ferrous Metal Co., Ltd.             | CHINA                    | Conformant        |
| 95  | Gold     | CID002312  | Guangdong Jinding Gold Limited                          | CHINA                    | Outreach Required |
| 96  | Tantalum | CID000291  | Guangdong Rising Rare Metals-EO Materials Ltd.          | CHINA                    | Conformant        |
| 97  | Tungsten | CID000218  | Guangdong Xianglu Tungsten Co., Ltd.                    | CHINA                    | Conformant        |
| 98  | Tantalum | CID000616  | Guangdong Zhiyuan New Material Co., Ltd.                | CHINA                    | Conformant        |
| 99  | Tin      | CID002849  | Guanyang Guida Nonferrous Metal Smelting Plant          | CHINA                    | Conformant        |
| 100 | Gold     | CID000651  | Guoda Safina High-Tech Environmental Refinery Co., Ltd. | CHINA                    | Outreach Required |
| 101 | Tantalum | CID002544  | H.C. Starck Co., Ltd.                                   | THAILAND                 | Conformant        |
| 102 | Tantalum | CID002547  | H.C. Starck Hermsdorf GmbH                              | GERMANY                  | Conformant        |
| 103 | Tantalum | CID002548  | H.C. Starck Inc.  | UNITED STATES OF AMERICA | Conformant        |
| 104 | Tantalum | CID002549  | H.C. Starck Ltd.  | JAPAN                    | Conformant        |
| 105 | Tantalum | CID002550  | H.C. Starck Smelting GmbH & Co. KG                      | GERMANY                  | Conformant        |
| 106 | Tungsten | CID002542  | H.C. Starck Smelting GmbH & Co. KG                      | GERMANY                  | Conformant        |
| 107 | Tantalum | CID002545  | H.C. Starck Tantalum and Niobium GmbH                   | GERMANY                  | Conformant        |
| 108 | Tungsten | CID002541  | H.C. Starck Tungsten GmbH                               | GERMANY                  | Conformant        |
| 109 | Gold     | CID000671  | Hangzhou Fuchunjiang Smelting Co., Ltd.                 | CHINA                    | Outreach Required |
| 110 | Gold     | CID000689  | HeeSung Metal Ltd.                                      | KOREA, REPUBLIC OF       | Conformant        |
| 111 | Gold     | CID000694  | Heimerle + Meule GmbH                                   | GERMANY                  | Conformant        |
| 112 | Tantalum | CID002492  | Hengyang King Xing Lifeng New Materials Co., Ltd.       | CHINA                    | Conformant        |
| 113 | Gold     | CID000707  | Heraeus Metals Hong Kong Ltd.                           | CHINA                    | Conformant        |
| 114 | Gold     | CID000711  | Heraeus Precious Metals GmbH & Co. KG                   | GERMANY                  | Conformant        |
| 115 | Tin      | CID002844  | HuiChang Hill Tin Industry Co., Ltd.                    | CHINA                    | Conformant        |
| 116 | Tin      | CID000760  | Huichang Jinshunda Tin Co., Ltd.                        | CHINA                    | Conformant        |
| 117 | Gold     | CID000767  | Hunan Chenzhou Mining Co., Ltd.                         | CHINA                    | Outreach Required |
| 118 | Tungsten | CID000766  | Hunan Chenzhou Mining Co., Ltd.                         | CHINA                    | Conformant        |
| 119 | Tungsten | CID002579  | Hunan Chuangda Vanadium Tungsten Co., Ltd. Wuji         | CHINA                    | Conformant        |
| 120 | Tungsten | CID000769  | Hunan Chunchang Nonferrous Metals Co., Ltd.             | CHINA                    | Conformant        |
| 121 | Gold     | CID000773  | Hunan Guiyang yinxing Nonferrous Smelting Co., Ltd.     | CHINA                    | Outreach Required |
| 122 | Tungsten | CID003182  | Hunan Litian Tungsten Industry Co., Ltd.                | CHINA                    | Conformant        |

**Exhibit 1.01 Conflict Minerals Report**

| No. | Metal    | Smelter ID | Name of Smelter/Refiner   | Facility Location    | Audit Status                                 |
|-----|----------|------------|---|----------------------|--|
| 123 | Gold     | CID000778  | HwaSeong CJ CO., LTD.   | KOREA, REPUBLIC OF   | Communication Suspended - Not Interested     |
| 124 | Tungsten | CID002649  | Hydrometallurg, JSC   | RUSSIAN FEDERATION   | Conformant                                   |
| 125 | Gold     | CID000801  | Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd. | CHINA                | Conformant                                   |
| 126 | Gold     | CID002562  | International Precious Metal Refiners                           | UNITED ARAB EMIRATES | Outreach Required                            |
| 127 | Gold     | CID000807  | Ishifuku Metal Industry Co., Ltd.                               | JAPAN                | Conformant                                   |
| 128 | Gold     | CID000814  | Istanbul Gold Refinery  | TURKEY               | Conformant                                   |
| 129 | Gold     | CID002765  | Italpreziosi  | ITALY                | Conformant                                   |
| 130 | Gold     | CID000823  | Japan Mint  | JAPAN                | Conformant                                   |
| 131 | Tungsten | CID000825  | Japan New Metals Co., Ltd.                                      | JAPAN                | Conformant                                   |
| 132 | Tungsten | CID002551  | Jiangwu H.C. Starck Tungsten Products Co., Ltd.                 | CHINA                | Conformant                                   |
| 133 | Gold     | CID000855  | Jiangxi Copper Co., Ltd.  | CHINA                | Conformant                                   |
| 134 | Tantalum | CID002512  | Jiangxi Dinghai Tantalum & Niobium Co., Ltd.                    | CHINA                | Conformant                                   |
| 135 | Tungsten | CID002321  | Jiangxi Gan Bei Tungsten Co., Ltd.                              | CHINA                | Conformant                                   |
| 136 | Tungsten | CID002313  | Jiangxi Minmetals Gao'an Non-ferrous Metals Co., Ltd.           | CHINA                | Communication Suspended - Not Interested     |
| 137 | Tin      | CID001231  | Jiangxi New Nanshan Technology Ltd.                             | CHINA                | Conformant                                   |
| 138 | Tungsten | CID002318  | Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd.   | CHINA                | Conformant                                   |
| 139 | Tantalum | CID002842  | Jiangxi Tuohong New Raw Material                                | CHINA                | Conformant                                   |
| 140 | Tungsten | CID002647  | Jiangxi Xianglu Tungsten Co., Ltd.                              | China                | Active                                       |
| 141 | Tungsten | CID002317  | Jiangxi Xinsheng Tungsten Industry Co., Ltd.                    | CHINA                | Conformant                                   |
| 142 | Tungsten | CID002316  | Jiangxi Yaosheng Tungsten Co., Ltd.                             | CHINA                | Conformant                                   |
| 143 | Tantalum | CID003191  | Jiujiang Janny New Material Co., Ltd.                           | CHINA                | Conformant                                   |
| 144 | Tantalum | CID000914  | JiuJiang JinXin Nonferrous Metals Co., Ltd.                     | CHINA                | Conformant                                   |
| 145 | Tantalum | CID000917  | Jiujiang Nonferrous Metals Smelting Company Limited             | CHINA                | Conformant                                   |
| 146 | Tantalum | CID002506  | Jiujiang Zhongao Tantalum & Niobium Co., Ltd.                   | CHINA                | Conformant                                   |
| 147 | Tungsten | CID003408  | JSC "Kirovgrad Hard Alloys Plant"                               | RUSSIAN FEDERATION   | Active                                       |
| 148 | Gold     | CID000927  | JSC Ekaterinburg Non-Ferrous Metal Processing Plant             | RUSSIAN FEDERATION   | RMI Due Diligence Review - Unable to Proceed |
| 149 | Gold     | CID000929  | JSC Uralelectromed  | RUSSIAN FEDERATION   | Conformant                                   |
| 150 | Gold     | CID000937  | JX Nippon Mining & Metals Co., Ltd.                             | JAPAN                | Conformant                                   |

**Exhibit 1.01 Conflict Minerals Report**

| No. | Metal    | Smelter ID | Name of Smelter/Refiner                      | Facility Location         | Audit Status                                 |
|-----|----------|------------|--|---------------------------|--|
| 151 | Gold     | CID002563  | Kaloti Precious Metals                       | UNITED ARAB EMIRATES      | RMI Due Diligence Review - Unable to Proceed |
| 152 | Gold     | CID000956  | Kazakhmys Smelting LLC                       | KAZAKHSTAN                | In Communication                             |
| 153 | Gold     | CID000957  | Kazzinc                                      | KAZAKHSTAN                | Conformant                                   |
| 154 | Tantalum | CID002539  | KEMET Blue Metals                            | MEXICO                    | Conformant                                   |
| 155 | Tantalum | CID002568  | KEMET Blue Powder                            | UNITED STATES OF AMERICA  | Conformant                                   |
| 156 | Tungsten | CID000966  | Kennametal Fallon                            | UNITED STATES OF AMERICA  | Conformant                                   |
| 157 | Tungsten | CID000105  | Kennametal Huntsville                        | UNITED STATES OF AMERICA  | Conformant                                   |
| 158 | Gold     | CID000969  | Kennecott Utah Copper LLC                    | UNITED STATES OF AMERICA  | Conformant                                   |
| 159 | Tungsten | CID003388  | KGETS Co., Ltd.                              | KOREA, REPUBLIC OF        | Conformant                                   |
| 160 | Gold     | CID002511  | KGHM Polska Miedz Spolka Akcyjna             | POLAND                    | Conformant                                   |
| 161 | Gold     | CID000981  | Kojima Chemicals Co., Ltd.                   | JAPAN                     | Conformant                                   |
| 162 | Gold     | CID002605  | Korea Zinc Co., Ltd.                         | KOREA, REPUBLIC OF        | Conformant                                   |
| 163 | Gold     | CID001029  | Kyrgyzaltyn JSC                              | KYRGYZSTAN                | Conformant                                   |
| 164 | Gold     | CID002865  | Kyshtym Copper-Electrolytic Plant ZAO        | RUSSIAN FEDERATION        | Outreach Required                            |
| 165 | Gold     | CID001032  | L'azurde Company For Jewelry                 | SAUDI ARABIA              | RMI Due Diligence Review - Unable to Proceed |
| 166 | Tungsten | CID003407  | Lianyou Metals Co., Ltd.                     | TAIWAN, PROVINCE OF CHINA | Conformant                                   |
| 167 | Gold     | CID001056  | Lingbao Gold Co., Ltd.                       | CHINA                     | Outreach Required                            |
| 168 | Gold     | CID001058  | Lingbao Jinyuan Tonghui Refinery Co., Ltd.   | CHINA                     | Outreach Required                            |
| 169 | Gold     | CID002762  | L'Orfebre S.A.                               | ANDORRA                   | Conformant                                   |
| 170 | Tantalum | CID001076  | LSM Brasil S.A.                              | BRAZIL                    | Conformant                                   |
| 171 | Gold     | CID001078  | LS-NIKKO Copper Inc.                         | KOREA, REPUBLIC OF        | Conformant                                   |
| 172 | Tin      | CID003387  | Luna Smelter, Ltd.                           | RWANDA                    | Active                                       |
| 173 | Gold     | CID001093  | Luoyang Zijin Yinhui Gold Refinery Co., Ltd. | CHINA                     | Outreach Required                            |
| 174 | Tin      | CID003379  | Ma'anshan Weitai Tin Co., Ltd.               | CHINA                     | Conformant                                   |
| 175 | Tin      | CID002468  | Magnu's Minerais Metais e Ligas Ltda.        | BRAZIL                    | Conformant                                   |
| 176 | Tin      | CID001105  | Malaysia Smelting Corporation (MSC)          | MALAYSIA                  | Conformant                                   |
| 177 | Tungsten | CID002319  | Malipo Haiyu Tungsten Co., Ltd.              | CHINA                     | Conformant                                   |
| 178 | Gold     | CID002606  | Marsam Metals                                | BRAZIL                    | Conformant                                   |
| 179 | Tungsten | CID002543  | Masan Tungsten Chemical LLC (MTC)            | VIET NAM                  | Conformant                                   |
| 180 | Gold     | CID001113  | Materion                                     | UNITED STATES OF AMERICA  | Conformant                                   |
| 181 | Gold     | CID001119  | Matsuda Sangyo Co., Ltd.                     | JAPAN                     | Conformant                                   |
| 182 | Tin      | CID002500  | Melt Metais e Ligas S.A.                     | BRAZIL                    | Conformant                                   |

**Exhibit 1.01 Conflict Minerals Report**

| No. | Metal    | Smelter ID | Name of Smelter/Refiner                          | Facility Location        | Audit Status                             |
|-----|----------|------------|--|--------------------------|--|
| 183 | Tin      | CID001142  | Metallic Resources, Inc.                         | UNITED STATES OF AMERICA | Conformant                               |
| 184 | Tin      | CID002773  | Metallo Belgium N.V.                             | BELGIUM                  | Conformant                               |
| 185 | Tin      | CID002774  | Metallo Spain S.L.U.                             | SPAIN                    | Conformant                               |
| 186 | Tantalum | CID001163  | Metallurgical Products India Pvt., Ltd.          | INDIA                    | Conformant                               |
| 187 | Gold     | CID001149  | Metalor Technologies (Hong Kong) Ltd.            | CHINA                    | Conformant                               |
| 188 | Gold     | CID001152  | Metalor Technologies (Singapore) Pte., Ltd.      | SINGAPORE                | Conformant                               |
| 189 | Gold     | CID001147  | Metalor Technologies (Suzhou) Ltd.               | CHINA                    | Conformant                               |
| 190 | Gold     | CID001153  | Metalor Technologies S.A.                        | SWITZERLAND              | Conformant                               |
| 191 | Gold     | CID001157  | Metalor USA Refining Corporation                 | UNITED STATES OF AMERICA | Conformant                               |
| 192 | Gold     | CID001161  | Metalurgica Met-Mex Penoles S.A. De C.V.         | MEXICO                   | Conformant                               |
| 193 | Tin      | CID001173  | Mineracao Taboca S.A.                            | BRAZIL                   | Conformant                               |
| 194 | Tantalum | CID001175  | Mineração Taboca S.A.                            | BRAZIL                   | Conformant                               |
| 195 | Tin      | CID001182  | Minsur   | PERU                     | Conformant                               |
| 196 | Gold     | CID001188  | Mitsubishi Materials Corporation                 | JAPAN                    | Conformant                               |
| 197 | Tin      | CID001191  | Mitsubishi Materials Corporation                 | JAPAN                    | Conformant                               |
| 198 | Gold     | CID001193  | Mitsui Mining and Smelting Co., Ltd.             | JAPAN                    | Conformant                               |
| 199 | Tantalum | CID001192  | Mitsui Mining and Smelting Co., Ltd.             | JAPAN                    | Conformant                               |
| 200 | Gold     | CID002509  | MMTC-PAMP India Pvt., Ltd.                       | INDIA                    | Conformant                               |
| 201 | Gold     | CID002857  | Modeltech Sdn Bhd                                | MALAYSIA                 | Non Conformant                           |
| 202 | Tin      | CID002858  | Modeltech Sdn Bhd                                | MALAYSIA                 | Non Conformant                           |
| 203 | Tungsten | CID002845  | Moliren Ltd.                                     | RUSSIAN FEDERATION       | Conformant                               |
| 204 | Gold     | CID002282  | Morris and Watson                                | NEW ZEALAND              | Communication Suspended - Not Interested |
| 205 | Gold     | CID001204  | Moscow Special Alloys Processing Plant           | RUSSIAN FEDERATION       | Conformant                               |
| 206 | Gold     | CID001220  | Nadir Metal Rafineri San. Ve Tic. A.S.           | TURKEY                   | Conformant                               |
| 207 | Gold     | CID001236  | Navoi Mining and Metallurgical Combinat          | UZBEKISTAN               | Outreach Required                        |
| 208 | Tin      | CID002573  | Nghe Tinh Non-Ferrous Metals Joint Stock Company | VIET NAM                 | Outreach Required                        |
| 209 | Gold     | CID003189  | NH Recytech Company                              | KOREA, REPUBLIC OF       | Non Conformant                           |
| 210 | Tungsten | CID002589  | Niagara Refining LLC                             | UNITED STATES OF AMERICA | Conformant                               |
| 211 | Gold     | CID001259  | Nihon Material Co., Ltd.                         | JAPAN                    | Conformant                               |
| 212 | Tantalum | CID001277  | Ningxia Orient Tantalum Industry Co., Ltd.       | CHINA                    | Conformant                               |
| 213 | Tantalum | CID001200  | NPM Silmet AS                                    | ESTONIA                  | Conformant                               |
| 214 | Tungsten | CID003416  | NPP Tyazhmetprom LLC                             | RUSSIAN FEDERATION       | In Communication                         |
| 215 | Tin      | CID001314  | O.M. Manufacturing (Thailand) Co., Ltd.          | THAILAND                 | Conformant                               |

**Exhibit 1.01 Conflict Minerals Report**

| No. | Metal    | Smelter ID | Name of Smelter/Refiner   | Facility Location                          | Audit Status      |
|-----|----------|------------|---|--|-------------------|
| 216 | Tin      | CID002517  | O.M. Manufacturing Philippines, Inc.  | PHILIPPINES                                | Conformant        |
| 217 | Gold     | CID002779  | Ogussa Osterreichische Gold- und Silber-Scheideanstalt GmbH                 | AUSTRIA                                    | Conformant        |
| 218 | Gold     | CID001325  | Ohura Precious Metal Industry Co., Ltd.                                     | JAPAN                                      | Conformant        |
| 219 | Gold     | CID001326  | OJSC "The Gulidov Krasnoyarsk Non-Ferrous Metals Plant" (OJSC Krastsvetmet) | RUSSIAN FEDERATION                         | Conformant        |
| 220 | Gold     | CID000493  | OJSC Novosibirsk Refinery   | RUSSIAN FEDERATION                         | Conformant        |
| 221 | Tin      | CID001337  | Operaciones Metalurgicas S.A.   | BOLIVIA (PLURINATIONAL STATE OF)           | Conformant        |
| 222 | Gold     | CID001352  | PAMP S.A.   | SWITZERLAND                                | Conformant        |
| 223 | Gold     | CID002872  | Pease & Curren  | UNITED STATES OF AMERICA                   | Outreach Required |
| 224 | Gold     | CID001362  | Penglai Penggang Gold Industry Co., Ltd.                                    | CHINA                                      | Outreach Required |
| 225 | Tungsten | CID002827  | Philippine Chuangxin Industrial Co., Inc.                                   | PHILIPPINES                                | Conformant        |
| 226 | Gold     | CID002919  | Planta Recuperadora de Metales SpA  | CHILE                                      | Conformant        |
| 227 | Tin      | CID003208  | Pongpipat Company Limited   | MYANMAR                                    | Outreach Required |
| 228 | Tantalum | CID002847  | Power Resources Ltd.  | MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF | Conformant        |
| 229 | Tin      | CID003409  | Precious Minerals and Smelting Limited                                      | INDIA                                      | Active            |
| 230 | Gold     | CID001386  | Prioksky Plant of Non-Ferrous Metals  | RUSSIAN FEDERATION                         | Conformant        |
| 231 | Gold     | CID001397  | PT Aneka Tambang (Persero) Tbk  | INDONESIA                                  | Conformant        |
| 232 | Tin      | CID000309  | PT Aries Kencana Sejahtera  | INDONESIA                                  | Conformant        |
| 233 | Tin      | CID001399  | PT Artha Cipta Langgeng   | INDONESIA                                  | Conformant        |
| 234 | Tin      | CID002503  | PT ATD Makmur Mandiri Jaya  | INDONESIA                                  | Conformant        |
| 235 | Tin      | CID001402  | PT Babel Inti Perkasa   | INDONESIA                                  | Conformant        |
| 236 | Tin      | CID001406  | PT Babel Surya Alam Lestari   | INDONESIA                                  | Conformant        |
| 237 | Tin      | CID002776  | PT Bangka Prima Tin   | INDONESIA                                  | Conformant        |
| 238 | Tin      | CID003205  | PT Bangka Serumpun  | INDONESIA                                  | Conformant        |
| 239 | Gold     | CID001419  | PT Bangka Tin Industry  | INDONESIA                                  | Conformant        |
| 240 | Tin      | CID001421  | PT Belitung Industri Sejahtera  | INDONESIA                                  | Conformant        |
| 241 | Tin      | CID001428  | PT Bukit Timah  | INDONESIA                                  | Conformant        |
| 242 | Tin      | CID001434  | PT DS Jaya Abadi  | INDONESIA                                  | Conformant        |
| 243 | Tin      | CID002530  | PT Inti Stania Prima  | INDONESIA                                  | Conformant        |
| 244 | Tin      | CID001448  | PT Karimun Mining   | INDONESIA                                  | Conformant        |
| 245 | Tin      | CID002829  | PT Kijang Jaya Mandiri  | INDONESIA                                  | Conformant        |
| 246 | Tin      | CID002870  | PT Lautan Harmonis Sejahtera  | INDONESIA                                  | Conformant        |
| 247 | Tin      | CID002835  | PT Menara Cipta Mulia   | INDONESIA                                  | Conformant        |
| 248 | Tin      | CID001453  | PT Mitra Stania Prima   | INDONESIA                                  | Conformant        |
| 249 | Tin      | CID001457  | PT Panca Mega Persada   | INDONESIA                                  | Conformant        |

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| No. | Metal    | Smelter ID | Name of Smelter/Refiner   | Facility Location         | Audit Status                             |
|-----|----------|------------|---|---------------------------|--|
| 250 | Tin      | CID000313  | PT Premium Tin Indonesia  | INDONESIA                 | Conformant                               |
| 251 | Tin      | CID001458  | PT Prima Timah Utama  | INDONESIA                 | Conformant                               |
| 252 | Tin      | CID003381  | PT Rajawali Rimba Perkasa   | INDONESIA                 | Conformant                               |
| 253 | Tin      | CID002593  | PT Rajehan Arig   | INDONESIA                 | Conformant                               |
| 254 | Tin      | CID001460  | PT Refined Bangka Tin   | INDONESIA                 | Conformant                               |
| 255 | Tin      | CID001463  | PT Sariwiguna Binasentosa   | INDONESIA                 | Conformant                               |
| 256 | Tin      | CID001468  | PT Stanindo Inti Perkasa  | INDONESIA                 | Conformant                               |
| 257 | Tin      | CID002816  | PT Sukses Inti Makmur   | INDONESIA                 | Conformant                               |
| 258 | Tin      | CID001471  | PT Sumber Jaya Indah  | INDONESIA                 | Conformant                               |
| 259 | Tin      | CID001477  | PT Timah Tbk Kundur   | INDONESIA                 | Conformant                               |
| 260 | Tin      | CID001482  | PT Timah Tbk Mentok   | INDONESIA                 | Conformant                               |
| 261 | Tin      | CID001490  | PT Tinindo Inter Nusa   | INDONESIA                 | Conformant                               |
| 262 | Tin      | CID002478  | PT Tirus Putra Mandiri  | INDONESIA                 | Conformant                               |
| 263 | Tin      | CID001493  | PT Tommy Utama  | INDONESIA                 | Conformant                               |
| 264 | Gold     | CID001498  | PX Precinox S.A.  | SWITZERLAND               | Conformant                               |
| 265 | Gold     | CID003324  | QG Refining, LLC  | UNITED STATES OF AMERICA  | Outreach Required                        |
| 266 | Tantalum | CID001508  | QuantumClean  | UNITED STATES OF AMERICA  | Conformant                               |
| 267 | Gold     | CID001512  | Rand Refinery (Pty) Ltd.  | SOUTH AFRICA              | Conformant                               |
| 268 | Gold     | CID000522  | Refinery of Seemine Gold Co., Ltd.  | CHINA                     | Outreach Required                        |
| 269 | Gold     | CID002582  | REMONDIS PMR B.V.   | NETHERLANDS               | Conformant                               |
| 270 | Tantalum | CID002707  | Resind Industria e Comercio Ltda.   | BRAZIL                    | Conformant                               |
| 271 | Tin      | CID002706  | Resind Industria e Comercio Ltda.   | BRAZIL                    | Conformant                               |
| 272 | Tantalum | CID001522  | RFH Tantalum Smeltery Co., Ltd./Yanling Jincheng Tantalum & Niobium Co., Ltd. | CHINA                     | Conformant                               |
| 273 | Gold     | CID001534  | Royal Canadian Mint   | CANADA                    | Conformant                               |
| 274 | Tin      | CID001539  | Rui Da Hung   | TAIWAN, PROVINCE OF CHINA | Conformant                               |
| 275 | Gold     | CID002761  | SAAMP   | FRANCE                    | Conformant                               |
| 276 | Gold     | CID001546  | Sabin Metal Corp.   | UNITED STATES OF AMERICA  | Outreach Required                        |
| 277 | Gold     | CID002973  | Safimet S.p.A   | ITALY                     | Conformant                               |
| 278 | Gold     | CID002290  | SAFINA A.S.   | CZECHIA                   | Active                                   |
| 279 | Gold     | CID002853  | Sai Refinery  | INDIA                     | Outreach Required                        |
| 280 | Gold     | CID001555  | Samduck Precious Metals   | KOREA, REPUBLIC OF        | Conformant                               |
| 281 | Gold     | CID001562  | Samwon Metals Corp.   | KOREA, REPUBLIC OF        | Communication Suspended - Not Interested |
| 282 | Gold     | CID002777  | SAXONIA Edelmetalle GmbH  | GERMANY                   | Conformant                               |
| 283 | Gold     | CID001585  | SEMPSA Joyeria Plateria S.A.  | SPAIN                     | Conformant                               |
| 284 | Gold     | CID002525  | Shandong Humon Smelting Co., Ltd.   | CHINA                     | Outreach Required                        |
| 285 | Gold     | CID001619  | Shandong Tiancheng Biological Gold Industrial Co., Ltd.                       | CHINA                     | Outreach Required                        |

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| No. | Metal    | Smelter ID | Name of Smelter/Refiner  | Facility Location         | Audit Status      |
|-----|----------|------------|--|---------------------------|-------------------|
| 286 | Gold     | CID001622  | Shandong Zhaojin Gold & Silver Refinery Co., Ltd.                    | CHINA                     | Conformant        |
| 287 | Gold     | CID001736  | Sichuan Tianze Precious Metals Co., Ltd.                             | CHINA                     | Conformant        |
| 288 | Gold     | CID002516  | Singway Technology Co., Ltd.   | TAIWAN, PROVINCE OF CHINA | Conformant        |
| 290 | Gold     | CID001756  | SOE Shyolkovsky Factory of Secondary Precious Metals                 | RUSSIAN FEDERATION        | Conformant        |
| 291 | Tin      | CID001758  | Soft Metais Ltda.  | BRAZIL                    | Conformant        |
| 292 | Gold     | CID001761  | Solar Applied Materials Technology Corp.                             | TAIWAN, PROVINCE OF CHINA | Conformant        |
| 293 | Tantalum | CID001769  | Solikamsk Magnesium Works OAO  | RUSSIAN FEDERATION        | Conformant        |
| 294 | Gold     | CID003383  | Sovereign Metals   | INDIA                     | Outreach Required |
| 295 | Gold     | CID003153  | State Research Institute Center for Physical Sciences and Technology | LITHUANIA                 | Outreach Required |
| 296 | Gold     | CID002567  | Sudan Gold Refinery  | SUDAN                     | Outreach Required |
| 297 | Gold     | CID001798  | Sumitomo Metal Mining Co., Ltd.                                      | JAPAN                     | Conformant        |
| 298 | Gold     | CID002918  | SungEel HiMetal Co., Ltd.  | KOREA, REPUBLIC OF        | Conformant        |
| 299 | Tin      | CID002756  | Super Ligas  | BRAZIL                    | Outreach Required |
| 300 | Gold     | CID002580  | T.C.A S.p.A  | ITALY                     | Conformant        |
| 301 | Tantalum | CID001869  | Taki Chemical Co., Ltd.  | JAPAN                     | Conformant        |
| 302 | Gold     | CID001875  | Tanaka Kikinzoku Kogyo K.K.  | JAPAN                     | Conformant        |
| 303 | Tungsten | CID001889  | Tejing (Vietnam) Tungsten Co., Ltd.                                  | VIET NAM                  | Conformant        |
| 304 | Tantalum | CID001891  | Telex Metals   | UNITED STATES OF AMERICA  | Conformant        |
| 305 | Tin      | CID002834  | Thai Nguyen Mining and Metallurgy Co., Ltd.                          | VIET NAM                  | Conformant        |
| 306 | Tin      | CID001898  | Thaisarco  | THAILAND                  | Conformant        |
| 307 | Gold     | CID001916  | The Refinery of Shandong Gold Mining Co., Ltd.                       | CHINA                     | Conformant        |
| 308 | Tin      | CID003325  | Tin Technology & Refining  | UNITED STATES OF AMERICA  | Conformant        |
| 309 | Gold     | CID001938  | Tokuriki Honten Co., Ltd.  | JAPAN                     | Conformant        |
| 310 | Gold     | CID001947  | Tongling Nonferrous Metals Group Co., Ltd.                           | CHINA                     | Outreach Required |
| 311 | Gold     | CID002587  | Tony Goetz NV  | BELGIUM                   | Non Conformant    |
| 312 | Gold     | CID002615  | TOO Tau-Ken-Altyn  | KAZAKHSTAN                | In Communication  |
| 313 | Gold     | CID001955  | Torecom  | KOREA, REPUBLIC OF        | Conformant        |
| 314 | Tin      | CID002574  | Tuyen Quang Non-Ferrous Metals Joint Stock Company                   | VIET NAM                  | Outreach Required |
| 315 | Tantalum | CID001969  | Ulba Metallurgical Plant JSC   | KAZAKHSTAN                | Conformant        |
| 316 | Gold     | CID001977  | Umicore Brasil Ltda.   | BRAZIL                    | Conformant        |
| 317 | Gold     | CID002314  | Umicore Precious Metals Thailand                                     | THAILAND                  | Conformant        |
| 318 | Gold     | CID001980  | Umicore S.A. Business Unit Precious Metals Refining                  | BELGIUM                   | Conformant        |

**Exhibit 1.01 Conflict Minerals Report**

| No. | Metal    | Smelter ID | Name of Smelter/Refiner                                     | Facility Location        | Audit Status      |
|-----|----------|------------|---|--------------------------|-------------------|
| 319 | Tungsten | CID002724  | Unecha Refractory metals plant                              | RUSSIAN FEDERATION       | Conformant        |
| 320 | Gold     | CID001993  | United Precious Metal Refining, Inc.                        | UNITED STATES OF AMERICA | Conformant        |
| 321 | Gold     | CID002003  | Valcambi S.A.   | SWITZERLAND              | Conformant        |
| 322 | Gold     | CID002030  | Western Australian Mint (T/a The Perth Mint)                | AUSTRALIA                | Conformant        |
| 323 | Tin      | CID002036  | White Solder Metalurgia e Mineracao Ltda.                   | BRAZIL                   | Conformant        |
| 324 | Gold     | CID002778  | WIELAND Edelmetalle GmbH                                    | GERMANY                  | Conformant        |
| 325 | Tungsten | CID002044  | Wolfram Bergbau und Hutten AG                               | AUSTRIA                  | Conformant        |
| 326 | Tungsten | CID002843  | Woltech Korea Co., Ltd.                                     | KOREA, REPUBLIC OF       | Conformant        |
| 327 | Tungsten | CID002320  | Xiamen Tungsten (H.C.) Co., Ltd.                            | CHINA                    | Conformant        |
| 328 | Tungsten | CID002082  | Xiamen Tungsten Co., Ltd.                                   | CHINA                    | Conformant        |
| 329 | Tungsten | CID002830  | Xinfeng Huarui Tungsten & Molybdenum New Material Co., Ltd. | CHINA                    | Conformant        |
| 330 | Tungsten | CID002095  | Xinhai Rendan Shaoguan Tungsten Co., Ltd.                   | CHINA                    | Conformant        |
| 331 | Tantalum | CID002508  | XinXing HaoRong Electronic Material Co., Ltd.               | CHINA                    | Conformant        |
| 332 | Gold     | CID002100  | Yamakin Co., Ltd.   | JAPAN                    | Conformant        |
| 333 | Gold     | CID002129  | Yokohama Metal Co., Ltd.                                    | JAPAN                    | Conformant        |
| 334 | Tin      | CID002158  | Yunnan Chengfeng Non-ferrous Metals Co., Ltd.               | CHINA                    | Conformant        |
| 335 | Gold     | CID000197  | Yunnan Copper Industry Co., Ltd.                            | CHINA                    | Outreach Required |
| 336 | Tin      | CID002180  | Yunnan Tin Company Limited                                  | CHINA                    | Conformant        |
| 337 | Tin      | CID003397  | Yunnan Yunfan Non-ferrous Metals Co., Ltd.                  | CHINA                    | Conformant        |
| 338 | Gold     | CID002224  | Zhongyuan Gold Smelter of Zhongjin Gold Corporation         | CHINA                    | Conformant        |

Annex 2

Reasonable Country of Origin for 3TG based on the identified smelters and suppliers.<sup>2</sup>

| Gold                     | Tantalum                 | Tin  | Tungsten   |
|--------------------------|--------------------------|--|--|
| Austria                  | Austria                  | Australia  | Austria  |
| Belgium                  | Belarus                  | Austria  | Belgium  |
| Benin                    | Bolivia                  | Belarus  | Bolivia  |
| Bolivia                  | Brazil                   | Belgium  | Brazil   |
| Brazil                   | Burundi                  | Benin  | Burundi  |
| Canada                   | China                    | Bolivia  | Canada   |
| Chile                    | Colombia                 | Brazil   | China  |
| China                    | Congo                    | Burundi  | Colombia   |
| Colombia                 | Ethiopia                 | Canada   | Congo  |
| Czech Republic           | France                   | Chile  | Czech Republic                                       |
| Denmark                  | Germany                  | China  | France   |
| Ecuador                  | Guinea                   | Colombia   | Germany  |
| Eritrea                  | India                    | Congo  | Guinea   |
| Estonia                  | Indonesia                | Croatia  | Hong Kong  |
| Finland                  | Ireland                  | Czech Republic                                       | Indonesia  |
| France                   | Israel                   | Denmark  | Japan  |
| Germany                  | Japan                    | Egypt  | Laos   |
| Ghana                    | Madagascar               | El Salvador  | Latvia   |
| Guinea                   | Malaysia                 | Estonia  | Malaysia   |
| Guyana                   | Mozambique               | France   | Mongolia   |
| Hong Kong                | Namibia                  | Gabon  | Myanmar  |
| Hungary                  | Nigeria                  | Germany  | Nigeria  |
| India                    | Russian Federation       | Guinea   | Peru   |
| Indonesia                | Rwanda                   | Indonesia  | Portugal   |
| Japan                    | Sierra Leone             | Laos   | Russian Federation                                   |
| Mali                     | Somaliland               | Malaysia   | Rwanda   |
| Mauritania               | Spain                    | Mongolia   | Spain  |
| Mexico                   | Switzerland              | Myanmar  | Taiwan   |
| Nicaragua                | Thailand                 | Nigeria  | Thailand   |
| Niger                    | United States of America | Peru   | Uganda   |
| Peru                     | Zimbabwe                 | Portugal   | United Arab Emirates                                 |
| Russian Federation       |                          | Russian Federation                                   | United Kingdom of Great Britain and Northern Ireland |
| Rwanda                   |                          | Rwanda   | United States of America                             |
| Swaziland                |                          | Taiwan   | Uzbekistan   |
| Tanzania                 |                          | Thailand   | Vietnam  |
| Togo                     |                          | Uganda   |  |
| Uganda                   |                          | United Kingdom of Great Britain and Northern Ireland |  |
| United States of America |                          | Venezuela  |  |
|                          |                          | Vietnam  |  |

<sup>2</sup> The data and the definitions have been obtained from RMI and reflect information as of March 27<sup>th</sup>, 2020.