**Supplier Self-Assessment on Conflict Minerals**

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| --- | --- |
| Company name and legal form |  |
| Street |  |
| ZIP code, City |  |
| Country |  |

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| --- | --- | --- | --- | --- |
| 1. What type of products and / or services does your company supply to uvex?   Multiple selections possible |  | Materials  Please specify which materials: Please enter text here. | | |
|  | Components | | |
|  | Sub-assemblies | | |
|  | Assemblies | | |
|  | Finished goods | | |
|  | Services | | |
| 1. Which of the following apply to your products? Please select.   Multiple selections possible |  | RFID systems and components | | |
|  | Processors and chips | | |
|  | Batteries | | |
|  | Cables | | |
|  | Connectors / contacts | | |
|  | Power supplies / adaptors | | |
|  | LCD screens / displays | | |
|  | LED lights | | |
|  | Solders | | |
|  | Other: Please enter text here. | | |
| 1. Are you Union importer according of the Regulation (EU) 2017/821? |  | Yes |  | No |
| If you answered question 3.) with yes, please answer the questions 3a) and 3b): | | | | |
| 1. If your company imports materials according the Regulation (EU) 2017/821 above the quantity thresholds listed in the latest version of Annex I of the Regulation: Can you guarantee the compliance with the regulation? |  | Yes |  | No |
| 1. Does your company participate voluntarily in a certification system, that tests and confirms, that the obligations of Union importers acc. Regulation (EU) 2017/821 are fulfilled?  Please consider, that from 01.01.2021 Union importers  have to fulfill the obligations  acc. Regulation (EU) 2017/821. |  | Yes |  | No |
| 1. Do your products contain conflict minerals according the  US Dodd-Frank Act, Section 1502? |  | Yes |  | No |
| For further information regarding the Dodd-Frank Act, please go to:  <https://www.gpo.gov/fdsys/pkg/PLAW-111publ203/pdf/PLAW-111publ203.pdf>  <https://www.sec.gov/rules/final/2012/34-67716.pdf> | | | | |
| If you answered question 4.) with yes, please answer the questions 4a) and 4b): | | | | |
| 1. Do you comply with the  Dodd-Frank Act, Section 1502? |  | Yes |  | No |
| 1. Do the conflict minerals originate from the **D**emocratic **R**epublic of **C**ongo or adjoining countries (DRC)? |  | Yes |  | No |
| If you answered question 4a) and 4b) with yes:  Please share the URL for the result of your “Due Diligence” together with the  “Form SD” (provided by SEC) and the “Conflict Minerals Report”, as described in the Dodd-Frank Act, Section 1502:  Please enter URL here. | | | | |
| If you answered question 4a) or 4b) with no:  Please share the URL for the result, how compliance with the Dodd-Frank Act, Section 1502, and guarantee of DRC-conflict free suppliers are accomplished, together with the “Form SD” (provided by SEC):  Please enter URL here. | | | | |
| For further information regarding the “Form SD” (provided by SEC) please go to:  <https://www.sec.gov/files/formsd.pdf> | | | | |

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| 1. Do the products / materials supplied to uvex contain any of the 3TG Metals (Tin, Tantalum, Tungsten, Gold) or Cobalt?   Multiple selections possible |  | | Yes, Tin | | |  | | No, none of the 3TG Metals or Cobalt | | |
|  | | Yes, Tantalum | | |
|  | | Yes, Tungsten | | |
|  | | Yes, Gold | | |
|  | | Yes, Cobalt | | |
| If yes, which of these metals remain in which product / material?  Please specify:  Please enter text here. | | | | |
| 1. Conflict Minerals Policy | | | | | | | | | | |
| 1. Have you established a conflict minerals sourcing policy? |  | | | Yes | | |  | | No | |
|  | If yes, please submit a copy. | | | | | | | | | |
| 1. Is your conflict minerals sourcing policy publicly available on your website? |  | | | Yes | | |  | | No | |
|  | If yes, please share the URL:  Please enter URL here. | | | | | | | | | |
| 1. Are you conducting or planning to conduct a conflict minerals supply chain investigation? |  | | | Yes | | |  | | No | |
| 1. When do you expect to have the **C**onflict **M**inerals **R**eporting **T**emplate (CMRT) ready? | Draft CMRT: Please insert date.  Final CMRT: Please insert date. | | | | | | | | | |
| 1. Are you a member of the **R**esponsible **M**inerals **I**nitiative (RMI)? |  | | | Yes | | |  | | No | |
|  |  | | |  | | | If no, are you planning to become an RMI member?  Please enter text here. | | | |
| 1. How many suppliers do you request to provide a CMRT? |  | | | | | | | | | |
| 1. How do you determine which suppliers are in scope of your investigation? |  | | | | | | | | | |
| 1. What target have you set on the number of suppliers responding and providing a CMRT? |  | | | | | | | | | |
| 1. What will be your answer to Question C in the CMRT, please explain?   Question C:  Do you require your direct suppliers to be DRC conflict-free? | Answer:  Please enter text here.  Please explain:  Please enter text here. | | | | | | | | | |
| 1. What will be your answer to Question D in the CMRT, please explain?   Question D:  Do you require your direct suppliers to source 3TG from smelters whose due diligence practices have been validated by an independent third party audit program? | Answer:  Please enter text here.  Please explain:  Please enter text here. | | | | | | | | | |
| 1. What is your process regarding not listed smelters?   For the most current and accurate list of standard smelter names that are Active or Conformant, please refer to the RMI website <http://www.responsiblemineralsinitiative.org/> | |  | | | We verify with our supplier(s) whether the entity is indeed a smelter by looking for sufficient evidence | | | | | |
|  | | | We do not review the smelter list data of the CMRTs received from our suppliers | | | | | |
|  | | | We are new to the program and would appreciate guidance on this issue | | | | | |
|  | | | Other: Please enter text here. | | | | | |
| 1. Can you estimate the total amount of each of the 3TG and Cobalt used in the products supplied to uvex? | | |  |  | | --- | --- | |  | Total amount [kg]  used in products supplied to uvex | | Tin |  | | Tantalum |  | | Tungsten |  | | Gold |  | | Cobalt |  | | | | | | | | |
| 1. What percentage of these metals are coming from recycled or scrap sources? | | |  |  | | --- | --- | |  | Percentage [%]  coming from recycled or scrap sources | | Tin |  | | Tantalum |  | | Tungsten |  | | Gold |  | | Cobalt |  | | | | | | | | |
| 1. What percentage of these metals are coming from conflict free or responsibly sourcing smelters / refiners?   (E.g. Fairtrade, Fair-minded gold, responsibly mined tin from Indonesia) | | |  |  | | --- | --- | |  | Percentage [%]  coming from conflict free or responsibly sourcing smelters/refiners | | Tin |  | | Tantalum |  | | Tungsten |  | | Gold |  | | Cobalt |  | | | | | | | | |
| 1. How many tiers on average are between you and the identified smelter(s)? | |  | | | | | | | |

The correctness and completeness of the information is hereby confirmed. The required guidelines and standards are also accepted.

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| --- | --- |
| Date, Signature /  Company Stamp |  |
| Name |  |
| Position |  |