**Supplier Self-Assessment on Conflict Minerals**

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

|  |  |  |
| --- | --- | --- |
| 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> |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| 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.

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