Juniper Networks, Inc.
(Exact name of registrant as specified in its charter)

Delaware
(State or other jurisdiction of incorporation or organization)

1133 Innovation Way,
Sunnyvale, California
(Address of principal executive offices)

Robert Mobassaly (408) 745-2000
(Name and telephone number, including area code, of the person to contact in connection with this report.)

Check the appropriate box to indicate the rule pursuant to which this form is being filed, and provide the period to which the information in this form applies:

Section 1—Conflict Minerals Disclosure

Item 1.01 Conflict Minerals Disclosure and Report

Conflict Minerals Disclosure

In accordance with Rule 13p-1 promulgated under the Securities Exchange Act of 1934, as amended, and this Specialized Disclosure Report on Form SD (this “Form”), Juniper Networks, Inc. has filed a Conflict Minerals Report, which is attached as Exhibit 1.01. A copy of this Form and the Conflict Minerals Report are publicly available at https://www.juniper.net/us/en/company/citizenship-sustainability/supply-chain/#tab=dtabs-4.

The content of any website referred to in this Form, including any exhibit hereto, is included for general information only and is not incorporated by reference in this Form.

Item 1.02 Exhibit

The Conflict Minerals Report described in Item 1.01 is filed as Exhibit 1.01 to this Form SD.

Section 3 —Exhibits

Item 3.01 Exhibits

<table>
<thead>
<tr>
<th>Exhibit No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exhibit 1.01</td>
<td>Conflict Minerals Report for the calendar year ended December 31, 2021.</td>
</tr>
</tbody>
</table>
SIGNATURES

Pursuant to the requirements of the Securities Exchange Act of 1934, the registrant has duly caused this report to be signed on its behalf by the duly authorized undersigned.

Juniper Networks, Inc.
(Registrant)

By: /s/ Robert Mobassaly

Name: Robert Mobassaly
Title: Senior Vice President,
General Counsel and Secretary

Date: May 26, 2022
Exhibit 1.01

Juniper Networks, Inc.
Conflict Minerals Report for the Year Ended December 31, 2021

This Conflict Minerals Report (this “Report”) for Juniper Networks, Inc. (the “Company”, “Juniper”, “our” or “we”) covers the reporting period from January 1, 2021 to December 31, 2021, and is presented in accordance with Rule 13p-1 promulgated under the Securities Exchange Act of 1934, as amended, and Form SD (collectively, the “Rule”). The Rule imposes certain reporting obligations on U.S. Securities and Exchange Commission (“SEC”) registrants whose manufactured products contain “conflict minerals” that are necessary to the functionality or production of their products. The term “conflict minerals” is defined in the Rule as (A) cassiterite, columbite-tantalite (coltan), gold, wolframite, or their derivatives, which are currently limited to tin, tantalum and tungsten (collectively, “3TG”); or (B) any other mineral or its derivatives determined by the Secretary of State to be financing conflict in the Democratic Republic of the Congo (“DRC”) or any adjoining country that shares an internationally recognized border with the DRC (collectively, the “Covered Countries”). The adjoining countries are the Republic of the Congo, the Central African Republic, South Sudan, Rwanda, Uganda, Zambia, Burundi, Tanzania and Angola.

Throughout this Report, whenever a reference is made to any document, third-party material or website (including Juniper’s website), such reference is for general information only and does not incorporate information from such document, material or website into this Report, unless expressly incorporated by reference herein.

Overview

Company Overview
Juniper designs, develops and sells products and services for high-performance networks to enable customers to build scalable, reliable, secure and cost-effective networks for their businesses, while achieving agility and improved operating efficiency through automation.

Product and Supply Chain Overview
The Company sells high-performance network products and service offerings across routing, switching, Wi-Fi, network security, and software-defined networking technologies. Our supply chain and operations team manage relationships with our global supply chain, which includes our contract manufacturers, original design manufacturers, certain components suppliers, warehousing, and logistics. Our contract manufacturers and original design manufacturers are responsible for all phases of manufacturing, from prototypes to full production, and assist with activities such as material procurement. Given our downstream position in the supply chain, we do not have any direct purchasing relationships with the smelters or refiners in our supply chain, and we therefore rely on our first-tier suppliers to provide information about the sources of 3TG used in our products.

Industry Alignment Overview
Since 2011, Juniper has supported the development of industry tools and programs that provide a common means to report or collect due diligence information on the source and chain of custody of 3TG through our membership in the Responsible Minerals Initiative (the “RMI”). The RMI is a recognized industry coalition focused on addressing and advancing the responsible sourcing of 3TG in the supply chain. Through the RMI and its workgroup, the Due Diligence Practices Team, Juniper has been engaged and continues to work with industry peers to ensure that our reasonable country of origin inquiry (“RCOI”) and due diligence processes are aligned with industry approaches. The primary objective of this alignment is to help ensure that minerals in our products are sourced responsibly.

Through our participation in the RMI, we seek to maximize the efficiency and effectiveness of our efforts to identify 3TG smelters and refiners in our supply chain and to encourage their participation in the RMI’s Responsible Minerals Assurance Process (the “RMAP”). The RMAP is a voluntary initiative in which an independent third-party validates the operations, audit practices, and management systems of smelters and refiners in line with the Organization for Economic Co-operation and Development (“OECD”) Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas, including the supplements thereto (the “ Guidance”). As it is a standardized protocol, we, along with other participants in the electronics industry, rely on the RMAP or equivalent industry-wide programs for audits of 3TG smelters and refiners.

Additionally, through the RMI and its Due Diligence Practices Team workgroup, as well as through our own due diligence, Juniper monitors the social, health and safety, and human rights impacts of the industry’s efforts to promote responsible sourcing in the Covered Countries, as well as Conflict-Affected and High-Risk Areas (CAHRAs), and uses that information to inform our compliance program. To avoid negative impact on the livelihoods of those in the mining communities in the Covered Countries or CAHRAs, we do not embargo the sourcing of 3TG from them.
Products Covered by this Report

The Company determined that 3TG was necessary to the functionality or production of products that we manufactured or contracted to be manufactured during the 2021 calendar year. We determined that our routing, switching, Wi-Fi, network security, and software-defined networking hardware products that are being manufactured were within the scope of the Rule, based on the criteria that they contain components that may contain 3TG that is necessary to the functionality or production of the products.

For further information concerning our products, see the subheading “Products, Services and Technology” in “Item 1. Business” of our Annual Report on Form 10-K for the year ended December 31, 2021, filed with the SEC on February 11, 2022.

Reasonable Country of Origin Inquiry

RCOI Overview and Process

Juniper is required to undertake an RCOI with respect to the necessary 3TG in its in-scope products that is reasonably designed to determine whether any of the necessary 3TG originated in any of the Covered Countries and whether they were not from recycled or scrap resources. Based on our RCOI design, utilizing RMI’s Conflict Minerals Reporting Template (“CMRT”), we surveyed suppliers that provide physical components that become part of our end products or directly manufacture our end products (collectively, “direct material suppliers”). Our direct material suppliers cover all critical technologies that are within our end products and necessary for their functionality or production. For the reporting period covered by this Report, the direct material suppliers surveyed represented approximately 90% of our total direct materials expenditures in 2021.

To determine whether necessary 3TG in our products originated in the Covered Countries, we retained a third-party service provider to assist us with the survey and to provide an analysis of the resulting data. We utilized the most current available CMRT to survey suppliers through our third-party platform.

We requested that all these suppliers complete a CMRT, and we provided educational materials to assist such suppliers on best practices and the completion of the CMRT. We monitor and track all communications via a conflict minerals data management platform. Both Juniper and our third-party service provider continued to contact suppliers that were initially unresponsive in completing a CMRT.

We performed data validation based on completion of questions in the CMRT and through our analysis of internal consistency among responses in the CMRT. Following the data validation process, CMRTs were accepted and classified as valid or invalid. Suppliers that submitted an invalid CMRT, meaning that the CMRT contained contradictory or incomplete information, were contacted and requested to resubmit a valid and complete form. Unresolved contradictory or incomplete information impacts the accuracy and completeness of Juniper’s smelter and refiner list.

Based on data collected through May 25, 2022, approximately 80% of the suppliers we surveyed submitted a CMRT.

RCOI Results

Based on Juniper’s RCOI, we determined that at least 71 suppliers identified use of smelters and refiners that sourced 3TG in whole or in part from within the Covered Countries. In addition to information provided by suppliers, Juniper’s conclusions concerning the origin of 3TG from identified smelters and refiners is based on RCOI information provided by the RMI to its members.

For the 2021 reporting period, Juniper was unable to determine the origin of at least a portion of the necessary 3TG in its in-scope products. Based on the results of our RCOI, we conducted due diligence for 2021. These due diligence efforts are discussed below.

Due Diligence

Design of Due Diligence Program

We designed our due diligence measures to conform to the framework in the Guidance. The Guidance identifies five steps for due diligence that should be implemented and provides guidance as to how to achieve each step. We developed our due diligence process to address each of these five steps.

The following describes activities undertaken by Juniper with respect to each of the due diligence-related steps set forth in the Guidance.

Step 1: Establish Strong Company Management Systems

We have established management systems that conform to Step 1 of the Guidance and that include the following elements:

- **Conflict Minerals Policy**: Juniper has published and communicated to our suppliers a company policy stating our commitment to responsible sourcing of 3TG and our ongoing effort with suppliers to achieve a conflict-free supply chain. This policy can be viewed on our website at [https://www.juniper.net/us/en/company/citizenship-sustainability/supply-](https://www.juniper.net/us/en/company/citizenship-sustainability/supply-).
The proximate risks we identified with respect to the 2021 reporting period include:

- Sourcing from 85 smelters that are not RMAP conformant or actively seeking conformance, and whose practices are less transparent;
- Approximately 20% of the suppliers surveyed did not respond, meaning that there is uncertainty around their sourcing practices;
- Approximately 4% of suppliers had incomplete smelter or refiner information indicating possible inaccurate source information;

Governance structure: Juniper has established a conflict minerals governance structure that includes executive management and Board oversight for the program. A conflict minerals operations team comprised of individuals from Supply Chain Operations, Engineering, Sales and Legal supports the program during all stages. The conflict minerals operations team attempts to collect accurate and complete CMRTs from suppliers, deliver Juniper company-level CMRTs to customers, and meets when there are significant changes to the development, implementation, or maintenance of Juniper’s conflict minerals program. A team responsible for SEC filings, comprised of individuals from Legal and Finance, draft and review the Form SD filing and Conflict Minerals Report, for final review and signature by the General Counsel. The Audit Committee of the Board of Directors receives the Conflict Minerals Report findings for review.

Juniper uses a third party to assist us with collecting and evaluating supply chain information regarding 3TG, labeling high risk smelters, and identifying potential sourcing risks, and in the development and implementation of additional due diligence steps with suppliers in regard to conflict minerals.

Juniper also is engaged in multi-stakeholder initiatives to address responsible sourcing of 3TG. Through its membership in the RMI, Juniper utilizes the RMI for public policy engagement relating to the responsible sourcing of 3TG and to advance initiatives to reduce the use of raw materials that may support conflict.

Control systems and transparency: Juniper expects all of its suppliers to exercise due diligence on the source and chain of custody of any 3TG used in the production of the in-scope products, materials, or components sold to Juniper. These expectations are communicated to our suppliers through the supplier onboarding process and business reviews. Juniper seeks to strengthen our relationship with our suppliers by providing educational materials and through our Business Partner Code of Conduct. If suppliers do not abide by Juniper’s policies or meet Juniper’s performance expectations, we escalate the matter in the supplier business review process and take the non-compliance into account in supplier performance scorecards. Supplier non-compliance and poor performance on scorecards may result in a determination to suspend the supplier, disengage from the supplier, or take other corrective actions with respect to the supplier.

Supplier engagement: We engage with suppliers to request that they complete a CMRT for the in-scope products that they supply to us. Juniper has adopted engagement procedures that include steps for supplier engagement and escalation such as in-person meetings, business reviews, outreach conducted by commodity managers, sharing of best practices and educational resources, and identification of corrective actions. When entering into or renewing supplier master purchase agreements, we include our Business Partner Code of Conduct. We provide all in-scope suppliers access to conflict minerals educational resources through a third-party learning management system. Additional guidance is provided to certain suppliers who report smelters or refiners of potential concern.

Grievance mechanisms: All stakeholders, at any place in Juniper’s supply chain, are encouraged to immediately alert Juniper to any events of a questionable, fraudulent, or illegal nature that are, or may be, in violation of Juniper’s Worldwide Code of Business Conduct or Juniper’s Business Partner Code of Conduct, including any events relating to the source of 3TG in products supplied by our suppliers. Information may be submitted through email to integrity@juniper.net, by phone to the toll-free Juniper Integrity Hotline at +1-855-410-5445, or directly to Juniper’s Chief Compliance Officer. Information can be submitted anonymously and will be fully kept confidential as practicable and allowed by law.

Records maintenance: Juniper has implemented an electronic document retention policy to retain 3TG-related documents for a period of five years, including supplier responses to CMRTs.

Step 2: Identify and Assess Risk in the Supply Chain

We identify and assess risk in our supply chain in conformance with Step 2 of the Guidance. Our compliance steps include surveying our supply chain using the CMRT, aggregating and analyzing the responses, and following up with suppliers for clarification or with requests for further information when their responses trigger specified quality control flags. For purposes of this report, we assess risk of sourcing in Covered Countries that could support armed groups or conflict, but more broadly we assess risk associated with CAHRAs. As referenced in the Product and Supply Chain Overview Section, we are a downstream company and reliant on suppliers for 3TG source information, therefore our risk identification and assessment measures largely relate to actions of our first-tier suppliers. The primary guidance we use to understand the risks we should identify and assess is the European Commission Recommendation ((EU) 2018/1149) “on non-binding guidelines for the identification of conflict-affected and high-risk areas and other supply chain risks.”

The proximate risks we identified with respect to the 2021 reporting period include:

- Sourcing from 85 smelters that are not RMAP conformant or actively seeking conformance, and whose practices are less transparent;
- Approximately 20% of the suppliers surveyed did not respond, meaning that there is uncertainty around their sourcing practices;
- Approximately 4% of suppliers had incomplete smelter or refiner information indicating possible inaccurate source information;
Because at least 71 suppliers indicated sourcing from Covered Countries, or were uncertain about sourcing from Covered Countries, there is greater risk of minerals that support conflict entering our supply chain;

- Approximately 58% of suppliers indicated not receiving information from their entire supply base creating risk our smelter list is not comprehensive; and

- Due to unresponsiveness or not exhibiting policies or practices, approximately 24% of suppliers have weak conflict mineral programs, meaning there is more uncertainty regarding the quality of the data provided by direct suppliers.

It should be noted that approximately 74% of suppliers provided data at a company level as opposed to product level, and that the smelters and refiners reported by those suppliers that provided company-level CMRTs may not be within our supply chain.

We compared the smelters and refiners listed in the CMRTs received to the status list maintained by the RMI. See Appendix A below for a list of the known smelters and refiners listed in the CMRTs provided by our suppliers, along with the compliance status of such smelters and refiners.

We use suppliers’ CMRT responses to evaluate risk associated with program strength. We use the following criteria to evaluate the strength of a program:

1. Whether the supplier has a conflict minerals sourcing policy;
2. Whether the supplier has implemented 3TG due diligence measures;
3. Whether the supplier reviews due diligence information received from its own suppliers against the expectations set forth in its policy; and
4. Whether the supplier has a corrective action process.

Step 3: Design and Implement a Strategy to Respond to Identified Risks

The results of our due diligence are shared with the executive champions (currently our Corporate Vice President of Supply Chain Operations and Senior Vice President, General Counsel), as well as with the Audit Committee of our Board of Directors, which, among other responsibilities, is charged with oversight of risk management and financial reporting and compliance.

We address any risks identified through the process described in Step 2 on a case-by-case basis. Regarding suppliers who do not respond to third-party outreach, Juniper’s conflict minerals and supply chain operations teams contact these suppliers directly and request that such suppliers submit a CMRT. Other actions contemplated by our corrective action framework include, depending upon the particular circumstances, requesting a product-level CMRT and that the supplier take corrective action to ensure that any high-risk smelters or refiners are not in Juniper’s supply chain. We may also provide a supplier with additional guidance and education regarding the Rule, the Guidance, and/or our compliance expectations.

Through our participation in the RMI, we address smelter- and refiner-related risks and seek to exercise leverage over smelters and refiners to encourage smelters and refiners to become Conformant. We provide the RMI with Juniper’s lists of smelters and refiners that are not Conformant or Active and those entities disclosed by suppliers that are not listed as known smelters or refiners by the RMI in order to assist the RMI with prioritizing outreach to known smelters and refiners that are not participating in the RMAP and (2) research regarding those commonly reported entities that are not identified as a smelter or a refiner.

Step 4: Carry Out Independent Third-Party Audits of Supply Chain Due Diligence at Identified Points in the Supply Chain

Given that we are a downstream company, many steps removed from the mining or processing of 3TG, and that we do not purchase raw ore or refined 3TG, Juniper relies on independent third-party audits of smelters and refiners. Juniper supports such independent third-party audits, including those conducted by the RMAP, through our financial support for the RMI.

Juniper also actively supports the goal of increasing smelter and refiner participation in the RMAP through our participation in the RMI, pursuant to which we provide the RMI with Juniper’s lists of smelters and refiners, indicating those that are not Conformant or Active. This assists the RMI with prioritizing outreach to known smelters and refiners to encourage them to participate in the RMAP.

Step 5: Report on Supply Chain Due Diligence

This Report and the associated Form SD are filed annually with the SEC and are made publicly available on our website at https://www.juniper.net/us/en/company/corporate-responsibility/supply-chain.html.

Future Steps to Mitigate Risk

As part of our ongoing efforts, we intend to continue or begin implementation of the following efforts:

- Request that suppliers complete CMRTs on a product-specific basis, to enable us to determine which smelters and refiners actually process 3TG contained in our products.

- Take measures to increase our response rate and the response rate of our contract manufacturers to receive 100% of all CMRTs requested.

- Require suppliers to remove all high-risk smelters within two reporting cycles otherwise face removal as an approved vendor.
• Encourage our suppliers to source only from Conformant smelters and refiners by (1) awarding higher supplier Compliance, Risk and Sustainability scores to suppliers that utilize only Conformant smelters and refiners and (2) requesting that suppliers notify smelters or refiners that are not listed as Conformant by the RMI to obtain an independent third-party audit or be removed as a source. A supplier’s Compliance, Risk and Sustainability score is an input in the supplier performance scorecard.

Due Diligence Results

Survey Results

For the 2021 reporting year, Juniper received CMRTs from approximately 80% of the suppliers we surveyed.

Smelters and Refiners Potentially in Juniper’s Supply Chain

Based on our RCOI and due diligence, we identified 332 known smelters and refiners of 3TG that may be in our supply chain in 2021. Those smelters are in 51 different countries, and source mineral from at least 100 different countries. See Appendix A below for a list of these smelters and refiners, along with their conformance status. Appendix A does not include the names of entities received through our due diligence process that, as of May 26, 2022, were not listed on the RMI’s list of known smelters and refiners.

A summary of the known smelters and refiners for the 3TG that may be in our supply chain and their RMAP conformance status is provided below (see status definitions in Appendix A):

- Of the known gold smelters and refiners in our supply chain, 62% (106) are Conformant or Active. Of the supplier CMRTs received, 29% indicated sourcing of gold.
- Of the known tantalum smelters and refiners in our supply chain 100% (35) are Conformant. Of the supplier CMRTs received, 18% indicated sourcing of tantalum.
- Of the known tin smelters and refiners in our supply chain 78% (61) are Conformant or Active. Of the supplier CMRTs received, 33% indicated sourcing of tin.
- Of the known tungsten smelters that may be in our supply chain 94% (46) are Conformant or Active. Of the supplier CMRTs received, 20% indicated sourcing of tungsten.

As of the date of this Report and for the reporting period covered by this Report, we have not identified a supplier, smelter or refiner that we have reason to believe is sourcing 3TG contained in our in-scope products that is directly or indirectly financing or benefiting an armed group. However, given that we have received insufficient information with respect to certain smelters and refiners that may have processed 3TG in our products, we have not determined that any of our products are “DRC conflict-free.”

Country of Origin Information and Efforts to Determine Mine Location

Based on information provided by suppliers and the RMI, the identified countries of origin of the 3TG processed by the smelters and refiners listed in the table in Appendix A could include the countries listed below. The listed countries of origin are derived from information made available by the RMI to its members on April 29, 2022.

- Australia, Bolivia, Brazil, Burundi, China, Colombia, Ethiopia, France, Ghana, Indonesia, Malaysia, Mongolia, Mozambique, Myanmar, Nigeria, Peru, Portugal, Russian Federation, Rwanda, Sierra Leone, South Africa, Spain, Taiwan, Tanzania, Thailand, Uganda, United Kingdom of Great Britain and Northern Ireland, United States of America, Uzbekistan and Venezuela.

Approximately 68% of the known smelters and refiners listed in the table in Appendix A sourced in-part from recycled or scrap sources. Of those, 9 smelters or refiners listed only sourcing from recycled or scrap sources. Each of the 3TG minerals were used in recycling or scrap sourcing.

Juniper endeavored to determine the mine or location of origin of the necessary 3TG contained in its in-scope products by conducting a supply-chain survey with suppliers using the CMRT and through the information made available by the RMI to its members, as well as the other measures described in this Report.

Forward-Looking Statements

This Report, including the section entitled “Future Steps to Mitigate Risk,” contains forward-looking statements within the meaning of the Private Securities Litigation Reform Act of 1995 regarding our business, products and 3TG compliance efforts, including steps we intend to take to mitigate the risk that the 3TG in our products benefits armed groups, and the industry’s 3TG-related compliance efforts. Words such as “expects,” “anticipates,” “targets,” “goals,” “projects,” “would,” “could,” “intends,” “plans,” “believes,” “seeks,” “estimates,” variations of such words, and similar expressions are intended to identify such forward-looking statements. Forward-looking statements by their nature address matters that are, to different degrees, uncertain, and these forward-looking statements are only predictions and are subject to risks, uncertainties, and assumptions that are difficult to predict. While forward-looking statements in this Report are based on reasonable expectations of our management at the time that they are made, you should not rely on them. Forward-looking statements are inherently subject to
risks and uncertainties and actual results and outcomes may differ materially from the results and outcomes discussed in or anticipated by the forward-looking statements. Factors that could cause or contribute to such differences in results and outcomes include, without limitation, the risk that information reported to us by our direct suppliers or industry information used by us may be inaccurate; the risk that smelters or refiners may not participate in the RMAP; political and regulatory developments, whether in the Covered Countries, the United States or elsewhere; the risk that industry organizations and initiatives, such as the RMI and the RMAP, may not be an effective source of external support in our conflict minerals compliance process; as well as risks discussed under the heading “Risk Factors” in our most recent Annual Report on 10-K or subsequent Quarterly Report on Form 10-Q and in other reports we file with the SEC. Readers are urged not to place undue reliance on these forward-looking statements, which speak only as of the date of this Report. We undertake no obligation to revise or update any forward-looking statements in order to reflect any event or circumstance that may arise after the date of this Report.
Appendix A
Smelters and Refiners List

The below table lists the smelters or refiners that were identified by suppliers we surveyed through their CMRTs and that are, as of May 26, 2022, listed on the RMI’s list of known smelters and refiners. This list includes the Metal, Standard Smelter Name, Smelter Facility Location, Smelter ID, and RMI Audit Status. It may be the case that not all of the smelters and refiners listed in CMRTs that we received have processed 3TG necessary for Juniper’s in-scope products, since approximately 74% of suppliers responding reported their CMRT at a “company level.” In addition, this list may include reported smelters and refiners that were not in Juniper’s supply chain due to the over-inclusiveness of the information received. In addition, the smelters and refiners listed below may not include all of the smelters and refiners in Juniper’s supply chain, since approximately 58% of suppliers we surveyed indicated that they received information that were not in Juniper’s supply chain due to the over-inclusiveness of the information received. In addition, the smelters and refiners listed below may not include all of the smelters and refiners in Juniper’s supply chain, since approximately 74% of suppliers responding reported their CMRT at a “company level.” In addition, this list may include reported smelters and refiners that were not in Juniper’s supply chain due to the over-inclusiveness of the information received. In addition, the smelters and refiners listed below may not include all of the smelters and refiners in Juniper’s supply chain, since approximately 58% of suppliers we surveyed indicated that they received information regarding their supply chains from less than 100% of their own suppliers, and therefore may not have identified all smelters or refiners in their supply chain. As well, approximately 20% of Surveyed Suppliers did not respond to Juniper’s inquiries.

* RMI Audit Status is as of May 26, 2022. For purposes of this table, “Conformant” denotes that the smelter or refiner participates in the RMAP and has been listed as Conformant by the RMI, which includes those smelters and refiners described as “re-audit in progress,” and “Active” denotes that the smelter or refiner is a participant in the RMAP and has committed to undergo an RMAP assessment, has completed the relevant documents, and has scheduled the on-site assessment. “Not Enrolled” means that the smelter or refiner is listed on the Smelter Look-up tab of the CMRT but is not Conformant or Active. Smelter and refiner status reflected in this Appendix is based solely on information made publicly available by the RMI, without independent verification by Juniper.

<table>
<thead>
<tr>
<th>Metal</th>
<th>Standard Smelter Name</th>
<th>Smelter Facility Location</th>
<th>Smelter ID</th>
<th>RMI Audit Status*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gold</td>
<td>L’azurde Company For Jewelry</td>
<td>Saudi Arabia</td>
<td>CID001032</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>JSC Ekaterinburg Non-Ferrous Metal Processing Plant</td>
<td>Russian Federation</td>
<td>CID000927</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Kaloti Precious Metals</td>
<td>United Arab Emirates</td>
<td>CID002563</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>CGR Metalloys Pvt Ltd.</td>
<td>India</td>
<td>CID003382</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Shandong Humon Smelting Co., Ltd.</td>
<td>China</td>
<td>CID002525</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Guangdong Jinding Gold Limited</td>
<td>China</td>
<td>CID002312</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Degussa Sonne / Mond Goldhandel GmbH</td>
<td>Germany</td>
<td>CID002867</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Guoda Safina High-Tech Environmental Refinery Co., Ltd.</td>
<td>China</td>
<td>CID000651</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Sai Refinery</td>
<td>India</td>
<td>CID002853</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>K.A. Rasmussen</td>
<td>Norway</td>
<td>CID003497</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Dijllah Gold Refinery FZC</td>
<td>United Arab Emirates</td>
<td>CID003348</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Hangzhou Fuchunjiang Smelting Co., Ltd.</td>
<td>China</td>
<td>CID000671</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Tongling Nonferrous Metals Group Co., Ltd.</td>
<td>China</td>
<td>CID001947</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Refinery of Seemine Gold Co., Ltd.</td>
<td>China</td>
<td>CID000522</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Shandong Tiancheng Biological Gold Industrial Co., Ltd.</td>
<td>China</td>
<td>CID001619</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Shenzhen Zhonghenglong Real Industry Co., Ltd.</td>
<td>China</td>
<td>CID002527</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Sovereign Metals</td>
<td>India</td>
<td>CID003383</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Kyshtym Copper-Electrolytic Plant ZAO</td>
<td>Russian Federation</td>
<td>CID002865</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>State Research Institute Center for Physical Sciences and Technology</td>
<td>Lithuania</td>
<td>CID003153</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Luoyang Zijin Yinhu Gold Refinery Co., Ltd.</td>
<td>China</td>
<td>CID001093</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>African Gold Refinery</td>
<td>Uganda</td>
<td>CID003185</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Hunan Chenzhou Mining Co., Ltd.</td>
<td>China</td>
<td>CID000767</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Great Wall Precious Metals, Ltd.</td>
<td>China</td>
<td>CID001909</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Hunan Guiyang yinxing Nonferrous Smelting Co., Ltd.</td>
<td>China</td>
<td>CID000773</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Penglai Penggang Gold Industry Co., Ltd.</td>
<td>China</td>
<td>CID001362</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Atasay Kuyumculuk Sanayi Ve Ticaret A.S.</td>
<td>Turkey</td>
<td>CID001003</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Yunnan Copper Industry Co., Ltd.</td>
<td>China</td>
<td>CID00197</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Shirpur Gold Refinery Ltd.</td>
<td>India</td>
<td>CID002588</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Super Dragon Technology Co., Ltd.</td>
<td>China</td>
<td>CID001810</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Fujairah Gold FZC</td>
<td>United Arab Emirates</td>
<td>CID002584</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Caridad</td>
<td>Mexico</td>
<td>CID000180</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>QG Refining, LLC</td>
<td>United States Of America</td>
<td>CID003324</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>JALAN &amp; Company</td>
<td>India</td>
<td>CID002893</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Lingbao Gold Co., Ltd.</td>
<td>China</td>
<td>CID001056</td>
<td>Not Enrolled</td>
</tr>
</tbody>
</table>
Gold
Lingbao Jinyuan Tonghui Refinery Co., Ltd. China CID001058 Not Enrolled
Gold
Gold Coast Refinery Ghana CID003186 Not Enrolled
Gold
JSC Urals Electrochem Russian Federation CID00929 Not Enrolled
Gold
Modeltech Sdn Bhd Malaysia CID002857 Not Enrolled
Gold
Kyrghyzstan JSC Kyrgyzstan CID001029 Not Enrolled
Gold
AU Traders and Refiners South Africa CID002850 Not Enrolled
Gold
OJSC "The Gulidow Krasnoyarsk Non-Ferrous Metals Plant" (OJSC KSvetmet) Russian Federation CID001326 Not Enrolled
Gold
SOE Shyolkovsky Factory of Secondary Precious Metals Russian Federation CID001756 Not Enrolled
Gold
Prieskoy Plant of Non-Ferrous Metals Russian Federation CID001386 Not Enrolled
Gold
Industrial Refining Company Belgium CID002587 Not Enrolled
Gold
OJSC Novosibirsk Refinery Russian Federation CID000493 Not Enrolled
Gold
Moscow Special Alloys Processing Plant Russian Federation CID001204 Not Enrolled
Gold
Morris and Watson New Zealand CID00282 Not Enrolled
Gold
Emerald Jewel Industry India Limited (Unit 2) India CID003488 Not Enrolled
Gold
Daye Non-Ferrous Metals Mining Ltd. China CID000343 Not Enrolled
Gold
International Precious Metal Refiners United Arab Emirates CID002562 Not Enrolled
Gold
Kundan Care Products Ltd. India CID003463 Not Enrolled
Gold
Emerald Jewel Industry India Limited (Unit 3) India CID003489 Not Enrolled
Gold
Emerald Jewel Industry India Limited (Unit 1) India CID003487 Not Enrolled
Gold
Metallix Refining Inc. United States Of America CID003557 Not Enrolled
Gold
Value Trading Belgium CID003617 Not Enrolled
Gold
Kazakhmys Smelting LLC Kazakhstan CID000956 Not Enrolled
Gold
MD Overseas India CID003548 Not Enrolled
Gold
Emerald Jewel Industry India Limited (Unit 4) India CID003490 Not Enrolled
Gold
Matsuda Sangyo Co., Ltd. Japan CID001119 Conformant
Gold
Materion United States Of America CID001113 Conformant
Gold
Kojima Chemicals Co., Ltd. Japan CID000981 Conformant
Gold
Safmet S.p.A Italy CID002973 Conformant
Gold
LS-NIKKO Copper Inc. Korea, Republic Of CID001078 Conformant
Gold
Geib Refining Corporation United States Of America CID002459 Conformant
Gold
Kazzinc Kazakhstan CID000957 Conformant
Gold
Ohura Precious Metal Industry Co., Ltd. Japan CID001325 Conformant
Gold
8853 S.p.A. Italy CID002763 Conformant
Gold
Bangko Sentral ng Pilipinas (Central Bank of the Philippines) Philippines CID000128 Conformant
Gold
SAAMP France CID002761 Conformant
Gold
Singway Technology Co., Ltd. Taiwan, Province Of China CID002516 Conformant
Gold
DSC (Do Sung Corporation) Korea, Republic Of CID003539 Conformant
Gold
Asahi Refining Canada Ltd. Canada CID000924 Conformant
Gold
Korea Zinc Co., Ltd. Korea, Republic Of CID002605 Conformant
Gold
T.C.A S.p.A. Italy CID002580 Conformant
Gold
Zhongsuan Gold Smelter of Zhongjin Gold Corporation China CID002224 Conformant
Gold
The Refinery of Shandong Gold Mining Co., Ltd. China CID001916 Conformant
Gold
SEMPSA Joyeria Plateria S.A. Spain CID001585 Conformant
Gold
Allgemeine Gold-und Silberscheideanstalt A.G. Germany CID000035 Conformant
Gold
L’Orfebre S.A. Andorra CID002762 Conformant
Gold
TOO Tau-Ken-Altyn Kazakhstan CID002615 Conformant
Gold
Metalor Technologies S.A. Switzerland CID001153 Conformant
Gold
Planta Recuperadora de Metales SpA Chile CID002919 Conformant
Gold
Eco-System Recycling Co., Ltd. East Plant Japan CID000425 Conformant
Gold
Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd. China CID000801 Conformant
Gold
Eco-System Recycling Co., Ltd. West Plant Japan CID003425 Conformant
Gold
Rand Refinery (Pty) Ltd. South Africa CID001512 Conformant
Gold
Advanced Chemical Company United States Of America CID000015 Conformant
Gold
Yamakin Co., Ltd. Japan CID002100 Conformant
Gold
WIELAND Edelmetalle GmbH Germany CID002778 Conformant
Gold
PT Aneka Tambang (Persero) Tbk Indonesia CID001397 Conformant
Gold

Samduck Precious Metals

Korea, Republic Of

CID0001555
Conformant

Gold

Metalurgica Met-Mex Penoles S.A. De C.V.

Mexico

CID001161
Conformant

Gold

Dowa

Japan

CID000401
Conformant

Gold

Umicore S.A. Business Unit Precious Metals Refining

Belgium

CID001980
Conformant

Gold

Heraeus Precious Metals GmbH & Co. KG

Germany

CID000711
Conformant

Gold

Metalor Technologies (Hong Kong) Ltd.

China

CID001149
Conformant

Gold

Heraeus Metals Hong Kong Ltd.

China

CID000707
Conformant

Gold

Mitsui Mining and Smelting Co., Ltd.

Japan

CID001193
Conformant

Gold

Almalyk Mining and Metallurgical Complex (AMMC)

Uzbekistan

CID000041
Conformant

Gold

MMTC-PAMP India Pvt., Ltd.

India

CID000259
Conformant

Gold

Ishifuku Metal Industry Co., Ltd.

Japan

CID000807
Conformant

Gold

Umicore Precious Metals Thailand

Thailand

CID002314
Conformant

Gold

Nihon Material Co., Ltd.

Japan

CID001259
Conformant

Gold

Sichuan Tianze Precious Metals Co., Ltd.

China

CID001736
Conformant

Gold

Bolden AB

Sweden

CID000157
Conformant

Gold

Chugai Mining

Japan

CID000264
Conformant

Gold

REMONDIS PMR B.V.

Netherlands

CID002582
Conformant

Gold

Asahi Pretec Corp.

Japan

CID000082
Conformant

Gold

Yokohama Metal Co., Ltd.

Japan

CID002129
Conformant

Gold

Solar Applied Materials Technology Corp.

Taiwan, Province Of China

CID001761
Conformant

Gold

SungEel HiMetal Co., Ltd.

Korea, Republic Of

CID002918
Conformant

Gold

C. Hafner GmbH + Co. KG

Germany

CID000176
Conformant

Gold

Jiangxi Copper Co., Ltd.

China

CID000855
Conformant

Gold

CCR Refinery - Glencore Canada Corporation

Canada

CID000185
Conformant

Gold

Navoi Mining and Metallurgical Combinat

Uzbekistan

CID001236
Conformant

Gold

LT Metal Ltd.

Korea, Republic Of

CID000689
Conformant

Gold

Royal Canadian Mint

Canada

CID001534
Conformant

Gold

Western Australian Mint (T/a The Perth Mint)

Australia

CID002030
Conformant

Gold

Asaka Riken Co., Ltd.

Japan

CID000990
Conformant

Gold

Heimerle + Meule GmbH

Germany

CID000694
Conformant

Gold

JX Nippon Mining & Metals Co., Ltd.

Japan

CID000937
Conformant

Gold

SAFINA A.S.

Czechia

CID002290
Conformant

Gold

Argor-Heraeus S.A.

Switzerland

CID000077
Conformant

Gold

Kennebecut Utah Copper LLC

United States Of America

CID000969
Conformant

Gold

Marsam Metals

Brazil

CID002606
Conformant

Gold

Japan Mint

Japan

CID000823
Conformant

Gold

Metalor Technologies (Suzhou) Ltd.

China

CID001147
Conformant

Gold

Ogussa Osterreichische Gold- und Silber-Scheideanstalt GmbH

Austria

CID002779
Conformant

Gold

Istanbul Gold Refinery

Turkey

CID000814
Conformant

Gold

Italpreziosi

Italy

CID002765
Conformant

Gold

Al Etihad Gold Refinery DMCC

United Arab Emirates

CID002560
Conformant

Gold

Metal Concentrators SA (Pty) Ltd.

South Africa

CID003575
Conformant

Gold

AngloGold Ashanti Corrego do Sito Mineracao

Brazil

CID000058
Conformant

Gold

Torecom

Korea, Republic Of

CID001955
Conformant

Gold

PX Precinco S.A.

Switzerland

CID001498
Conformant

Gold

Eco-System Recycling Co., Ltd. North Plant

Japan

CID003424
Conformant

Gold

KGHM Polska Miedz Spolka Akcyjna

Poland

CID002511
Conformant

Gold

NH Recycle Company

Korea, Republic Of

CID003189
Conformant

Gold

Emirates Gold DMCC

United Arab Emirates

CID002561
Conformant

Gold

Gold Refinery of Zijin Mining Group Co., Ltd.

China

CID002243
Conformant

Gold

Aurubis AG

Germany

CID000113
Conformant

Gold

Shandong Zhaojun Gold & Silver Refinery Co., Ltd.

China

CID001622
Conformant

Gold

PAMP S.A.

Switzerland

CID001352
Conformant

Gold

Sumitomo Metal Mining Co., Ltd.

Japan

CID001798
Conformant

Gold

Asahi Refining USA Inc.

United States Of America

CID000920
Conformant

Gold

Cendres + Metaux S.A.

Switzerland

CID000189
Conformant

Gold

Chimet S.p.A.

Italy

CID000233
Conformant
<table>
<thead>
<tr>
<th>Metal</th>
<th>Company Name</th>
<th>Country</th>
<th>CID Number</th>
<th>Conformant Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gold</td>
<td>Metalor USA Refining Corporation</td>
<td>United States Of America</td>
<td>CID001157</td>
<td>Conformant</td>
</tr>
<tr>
<td>Gold</td>
<td>Mitsubishi Materials Corporation</td>
<td>Japan</td>
<td>CID001188</td>
<td>Conformant</td>
</tr>
<tr>
<td>Gold</td>
<td>United Precious Metal Refining, Inc.</td>
<td>United States Of America</td>
<td>CID001993</td>
<td>Conformant</td>
</tr>
<tr>
<td>Gold</td>
<td>Aida Chemical Industries Co., Ltd.</td>
<td>Japan</td>
<td>CID000019</td>
<td>Conformant</td>
</tr>
<tr>
<td>Gold</td>
<td>Tokuriki Honten Co., Ltd.</td>
<td>Japan</td>
<td>CID001938</td>
<td>Conformant</td>
</tr>
<tr>
<td>Gold</td>
<td>Valcambi S.A.</td>
<td>Switzerland</td>
<td>CID002003</td>
<td>Conformant</td>
</tr>
<tr>
<td>Gold</td>
<td>Bangalore Refinery</td>
<td>India</td>
<td>CID002636</td>
<td>Conformant</td>
</tr>
<tr>
<td>Gold</td>
<td>Nadir Metal Raffineri San. Ve Tic. A.S.</td>
<td>Turkey</td>
<td>CID001220</td>
<td>Conformant</td>
</tr>
<tr>
<td>Gold</td>
<td>Tanaka Kikinzoku Kogyo K.K.</td>
<td>Japan</td>
<td>CID001875</td>
<td>Conformant</td>
</tr>
<tr>
<td>Gold</td>
<td>Samwon Metals Corp.</td>
<td>Korea, Republic Of</td>
<td>CID001562</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>HwaSeong CJ Co., LTD.</td>
<td>Korea, Republic Of</td>
<td>CID000778</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Pease &amp; Curren</td>
<td>United States Of America</td>
<td>CID002872</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Sabin Metal Corp.</td>
<td>United States Of America</td>
<td>CID001546</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Sellem Industries Ltd.</td>
<td>Mauritania</td>
<td>CID003540</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Gold</td>
<td>Augmont Enterprises Private Limited</td>
<td>India</td>
<td>CID003461</td>
<td>Active</td>
</tr>
<tr>
<td>Gold</td>
<td>C1 Metales Procesados Industriales SAS</td>
<td>Colombia</td>
<td>CID003421</td>
<td>Active</td>
</tr>
<tr>
<td>Gold</td>
<td>Sancus ZFS (L'Orfebre, SA)</td>
<td>Colombia</td>
<td>CID003529</td>
<td>Active</td>
</tr>
<tr>
<td>Gold</td>
<td>Alexy Metals</td>
<td>United States Of America</td>
<td>CID003500</td>
<td>Active</td>
</tr>
<tr>
<td>Gold</td>
<td>Abington Reldan Metals, LLC</td>
<td>United States Of America</td>
<td>CID002708</td>
<td>Active</td>
</tr>
<tr>
<td>Gold</td>
<td>GCC Gujrat Gold Centre Pvt. Ltd.</td>
<td>India</td>
<td>CID002852</td>
<td>Active</td>
</tr>
<tr>
<td>Gold</td>
<td>WEEEEFERING</td>
<td>France</td>
<td>CID003615</td>
<td>Active</td>
</tr>
<tr>
<td>Tantalum</td>
<td>H.C. Starck Inc.</td>
<td>United States Of America</td>
<td>CID002548</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Ningxia Orient Tantalum Industry Co., Ltd.</td>
<td>China</td>
<td>CID001277</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Global Advanced Metals Boyertown</td>
<td>United States Of America</td>
<td>CID002557</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Ulba Metallurgical Plant JSC</td>
<td>Kazakhstan</td>
<td>CID001969</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Mineraçao Taboca S.A.</td>
<td>Brazil</td>
<td>CID001175</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Resind Industria e Comercio Ltd.</td>
<td>Brazil</td>
<td>CID002707</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Yancheng Jinye New Material Technology Co., Ltd.</td>
<td>China</td>
<td>CID003583</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>NPM Silmet AS</td>
<td>Estonia</td>
<td>CID001200</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Mitsui Mining and Smelting Co., Ltd.</td>
<td>Japan</td>
<td>CID001192</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>H.C. Starck Ltd.</td>
<td>Japan</td>
<td>CID002549</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>D Block Metals, LLC</td>
<td>United States Of America</td>
<td>CID002504</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Global Advanced Metals Aizu</td>
<td>Japan</td>
<td>CID002558</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>F&amp;X Electro-Materials Ltd.</td>
<td>China</td>
<td>CID000460</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Jiangxi Dinghai Tantalum &amp; Niobium Co., Ltd.</td>
<td>China</td>
<td>CID002512</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Taki Chemical Co., Ltd.</td>
<td>Japan</td>
<td>CID001869</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Changsha South Tantalum Niobium Co., Ltd.</td>
<td>China</td>
<td>CID000211</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>H.C. Starck Tantalum and Niobium GmbH</td>
<td>Germany</td>
<td>CID002545</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Jiuliang Jin Xin Nonferrous Metals Co., Ltd.</td>
<td>China</td>
<td>CID000914</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Guangdong Zhiyuan New Material Co., Ltd.</td>
<td>China</td>
<td>CID000616</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Yanling Jin Cheng Tantalum &amp; Niobium Co., Ltd.</td>
<td>China</td>
<td>CID001522</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>KEMET Blue Metals</td>
<td>Mexico</td>
<td>CID002539</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Jiangxi Tuohong New Raw Material</td>
<td>China</td>
<td>CID002842</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Hengyang King Xing Lifeng New Materials Co., Ltd.</td>
<td>China</td>
<td>CID002492</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Jiuliang Zhongao Tantalum &amp; Niobium Co., Ltd.</td>
<td>China</td>
<td>CID002506</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Telex Metals</td>
<td>United States Of America</td>
<td>CID001891</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Solikamsk Magnesium Works OAO</td>
<td>Russian Federation</td>
<td>CID001769</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>H.C. Starck Co., Ltd.</td>
<td>Thailand</td>
<td>CID002544</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Jiuliang Tianhe Co., Ltd.</td>
<td>China</td>
<td>CID000917</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>Metallurgical Products India Pvt., Ltd.</td>
<td>India</td>
<td>CID001163</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>LSM Brasil S.A.</td>
<td>Brazil</td>
<td>CID001076</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>H.C. Starck Hermsdorf GmbH</td>
<td>Germany</td>
<td>CID002547</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>XinXing HaoRong Electronic Material Co., Ltd.</td>
<td>China</td>
<td>CID002508</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>H.C. Starck Smelting GmbH &amp; Co. KG</td>
<td>Germany</td>
<td>CID002550</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tantalum</td>
<td>QuantumClean</td>
<td>United States Of America</td>
<td>CID001508</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tin</td>
<td>FIR Metals &amp; Resource Ltd.</td>
<td>China</td>
<td>CID002505</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tin</td>
<td>Gejiu City Fuxiang Industry and Trade Co., Ltd.</td>
<td>China</td>
<td>CID003410</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Tin</td>
<td>An Vinh Joint Stock Mineral Processing Company</td>
<td>Viet Nam</td>
<td>CID002703</td>
<td>Not Enrolled</td>
</tr>
</tbody>
</table>
Tin

VQB Mineral and Trading Group JSC

Neghe Tin Nh Non-Ferrous Metals Joint Stock Company

PT Panca Mega Persada

Melt Metal e Ligas S.A.

Pongpipp Farm Limited

Tuyen Quang Non-Ferrous Metals Joint Stock Company

Gejiu Kai Meng Industry and Trade LLC

Electro-Mechanical Facility of the Cao Bang Minerals & Metallurgy Joint Stock Company

Precious Minerals and Smelting Limited

Dongguan CiEXPO Environmental Engineering Co., Ltd.

Yunnan Yunfan Non-ferrous Metals Co., Ltd.

Modeltech Sdn Bhd

PT Tiris Putra Mandiri

PT Belitung Industri Sejahtera

PT Tommy Utama

Fenix Metals

Operaciones Metalurgicas S.A.

PT Mitra Stania Prima

Gejiu Zili Mining And Metallurgy Co., Ltd.

Thaisarco

PT Timindo Inter Nusa

PT Rajawali Rimbah Perkasa

PT Babel Inti Perkasa

Metallo Belgium N.V.

Minsur

PT Bukit Timah

Guangdong Hanhe Non-Ferrous Metal Co., Ltd.

White Solder Metalurgia e Mineracao Ltda.

Estanho de Rondonia S.A.

PT Timah Tbk Kundur

Alpha

China Tin Group Co., Ltd.

Metallo Spain S.L.U.

Yunnan Chengfeng Non-ferrous Metals Co., Ltd.

Rui Da Hung

Resind Industria e Comercio Ltda.

Metallic Resources, Inc.

PT Timah Tbk Mentok

Malaysia Smelting Corporation (MSC)

Luna Smelter, Ltd.

O.M. Manufacturing Philippines, Inc.

Yunnan Tin Company Limited

Gejiu Non-Ferrous Metal Processing Co., Ltd.

PT Artha Cipta Langong

PT ATD Makmur Mandiri Jaya

Ma'anshan Weitai Tin Co., Ltd.

PT Bangka Serumpun

Dowa

EM Vinto

Chifeng Dajingzi Tin Industry Co., Ltd.

Magni's Minerais Metais e Ligas Ltda.

PT Cipta Persada Mulia

Soft Metais Ltda.

PT Babel Surya Alam Lestari

Tin Technology & Refining

O.M. Manufacturing (Thailand) Co., Ltd.

Jiangxi New Nanshan Technology Ltd.

Fabrica Auricchio Industria e Comercio Ltda.

Viet Nam

Indonesia

Brazil

Myanmar

Viet Nam

China

Malaysia

Indonesia

Indonesia

Belgium

Peru

Indonesia

Indonesia

China

Spain

China

Brazil

United States Of America

Taiwan, Province Of China

Brazil

United States Of America

Indonesia

Indonesia

Malaysia

Rwanda

Philippines

China

Indonesia

Japan

Bolivia (Plurinational State Of)

China

Brazil

Indonesia

China

Brazil

Viet Nam

Brazil

Indonesia

China

Brazil

Bolivia (Plurinational State Of)

China

Brazil

Indonesia

China

Brazil

China

Bolivia (Plurinational State Of)

Thailand

China

Brazil

China

Bolivia (Plurinational State Of)

Not Enrolled

Not Enrolled

Not Enrolled

Not Enrolled
<table>
<thead>
<tr>
<th>Company Name</th>
<th>Country</th>
<th>CID</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gejiu Yunxin Nonferrous Electrolysis Co., Ltd.</td>
<td>China</td>
<td>CID001908</td>
<td>Conformant</td>
</tr>
<tr>
<td>Novosibirsk Processing Plant Ltd.</td>
<td>Russian Federation</td>
<td>CID001305</td>
<td>Conformant</td>
</tr>
<tr>
<td>PT Prima Timah Utama</td>
<td>Indonesia</td>
<td>CID001458</td>
<td>Conformant</td>
</tr>
<tr>
<td>CRM Synergies</td>
<td>Spain</td>
<td>CID003524</td>
<td>Conformant</td>
</tr>
<tr>
<td>PT Stanindo Inti Perkasa</td>
<td>Indonesia</td>
<td>CID001468</td>
<td>Conformant</td>
</tr>
<tr>
<td>Mineracao Taboca S.A.</td>
<td>Brazil</td>
<td>CID001173</td>
<td>Conformant</td>
</tr>
<tr>
<td>PT Refined Bangka Tin</td>
<td>Indonesia</td>
<td>CID001460</td>
<td>Conformant</td>
</tr>
<tr>
<td>PT Menara Cipta Mulia</td>
<td>Indonesia</td>
<td>CID002835</td>
<td>Conformant</td>
</tr>
<tr>
<td>Chenzhou Yuxiang Mining and Metallurgy Co., Ltd.</td>
<td>China</td>
<td>CID000228</td>
<td>Conformant</td>
</tr>
<tr>
<td>PT Sariwiguna Binasentosa</td>
<td>Indonesia</td>
<td>CID001463</td>
<td>Conformant</td>
</tr>
<tr>
<td>Mitsubishi Materials Corporation</td>
<td>Japan</td>
<td>CID001191</td>
<td>Conformant</td>
</tr>
<tr>
<td>PT Sukes Inti Makmur</td>
<td>Indonesia</td>
<td>CID002816</td>
<td>Active</td>
</tr>
<tr>
<td>CRM Fundicao De Metais E Comercio De Equipamentos Eletronicos Do Brasil Ltda</td>
<td>Brazil</td>
<td>CID003486</td>
<td>Active</td>
</tr>
<tr>
<td>PT Aries Kencana Sejahtera</td>
<td>Indonesia</td>
<td>CID00309</td>
<td>Active</td>
</tr>
<tr>
<td>PT Mitra Sukes Globalindo</td>
<td>Indonesia</td>
<td>CID003449</td>
<td>Active</td>
</tr>
<tr>
<td>Super Ligas</td>
<td>Brazil</td>
<td>CID002756</td>
<td>Active</td>
</tr>
<tr>
<td>PT Timah Nasantara</td>
<td>Indonesia</td>
<td>CID001486</td>
<td>Active</td>
</tr>
<tr>
<td>CV Venus Inti Perkasa</td>
<td>Indonesia</td>
<td>CID002455</td>
<td>Active</td>
</tr>
<tr>
<td>Unecha Refractory metals plant</td>
<td>Russia</td>
<td>CID002542</td>
<td>Conformant</td>
</tr>
<tr>
<td>PT Mitra Sukes Globalindo</td>
<td>Indonesia</td>
<td>CID003449</td>
<td>Active</td>
</tr>
<tr>
<td>Super Ligas</td>
<td>Brazil</td>
<td>CID002756</td>
<td>Active</td>
</tr>
<tr>
<td>PT Timah Nasantara</td>
<td>Indonesia</td>
<td>CID001486</td>
<td>Active</td>
</tr>
<tr>
<td>Moliere Ltd.</td>
<td>Russia</td>
<td>CID002845</td>
<td>Conformant</td>
</tr>
<tr>
<td>Guangdong Xianglu Tungsten Co., Ltd.</td>
<td>China</td>
<td>CID000218</td>
<td>Conformant</td>
</tr>
<tr>
<td>Ganzhou Jiangwu Ferrotungsten Co., Ltd.</td>
<td>China</td>
<td>CID002315</td>
<td>Conformant</td>
</tr>
<tr>
<td>GEM Co., Ltd.</td>
<td>China</td>
<td>CID003417</td>
<td>Active</td>
</tr>
<tr>
<td>Niagara Refining LLC</td>
<td>United States Of America</td>
<td>CID002589</td>
<td>Conformant</td>
</tr>
<tr>
<td>Chongyi Zhangyuan Tungsten Co., Ltd.</td>
<td>China</td>
<td>CID000281</td>
<td>Not Enrolled</td>
</tr>
<tr>
<td>Fujian Gammin RareMetal Co., Ltd.</td>
<td>China</td>
<td>CID003401</td>
<td>Conformant</td>
</tr>
<tr>
<td>Jiangxi Tonggu Non-ferrous Metallurgical &amp; Chemical Co., Ltd.</td>
<td>China</td>
<td>CID002318</td>
<td>Conformant</td>
</tr>
<tr>
<td>Ganzhou Huaxing Tungsten Products Co., Ltd.</td>
<td>China</td>
<td>CID000875</td>
<td>Conformant</td>
</tr>
<tr>
<td>Jiangxi Xinsheng Tungsten Industry Co., Ltd.</td>
<td>China</td>
<td>CID002317</td>
<td>Conformant</td>
</tr>
<tr>
<td>China Molybdenum Co., Ltd.</td>
<td>China</td>
<td>CID002641</td>
<td>Conformant</td>
</tr>
<tr>
<td>Malipo Haiyu Tungsten Co., Ltd.</td>
<td>China</td>
<td>CID002319</td>
<td>Conformant</td>
</tr>
<tr>
<td>Jiangwu H.C. Starck Tungsten Products Co., Ltd.</td>
<td>China</td>
<td>CID002551</td>
<td>Conformant</td>
</tr>
<tr>
<td>Lianyou Metals Co., Ltd.</td>
<td>Taiwan, Province Of China</td>
<td>CID003407</td>
<td>Conformant</td>
</tr>
<tr>
<td>Chenzhou Diamond Tungsten Products Co., Ltd.</td>
<td>China</td>
<td>CID002513</td>
<td>Conformant</td>
</tr>
<tr>
<td>Kemmetal Huntsville</td>
<td>United States Of America</td>
<td>CID000105</td>
<td>Conformant</td>
</tr>
<tr>
<td>Global Tungsten &amp; Powders Corp.</td>
<td>United States Of America</td>
<td>CID000568</td>
<td>Conformant</td>
</tr>
<tr>
<td>Cronimet Brasil Ltda</td>
<td>Brazil</td>
<td>CID003468</td>
<td>Conformant</td>
</tr>
<tr>
<td>H.C. Starck Tungsten GmbH</td>
<td>Germany</td>
<td>CID002541</td>
<td>Conformant</td>
</tr>
<tr>
<td>ACL Metais Eireli</td>
<td>Brazil</td>
<td>CID002833</td>
<td>Conformant</td>
</tr>
<tr>
<td>Xiamen Tungsten Co., Ltd.</td>
<td>China</td>
<td>CID002082</td>
<td>Conformant</td>
</tr>
<tr>
<td>Fujian Xinhua Tungsten</td>
<td>China</td>
<td>CID003609</td>
<td>Conformant</td>
</tr>
<tr>
<td>Asia Tungsten Products Vietnam Ltd.</td>
<td>Vietnam</td>
<td>CID002502</td>
<td>Conformant</td>
</tr>
<tr>
<td>Jiangxi Gan Bei Tungsten Co., Ltd.</td>
<td>China</td>
<td>CID003231</td>
<td>Conformant</td>
</tr>
<tr>
<td>Wolfram Bergbau und Hütten AG</td>
<td>Austria</td>
<td>CID002044</td>
<td>Conformant</td>
</tr>
<tr>
<td>Ganzhou Haichuang Tungsten Co., Ltd.</td>
<td>China</td>
<td>CID002645</td>
<td>Conformant</td>
</tr>
<tr>
<td>Kemmetal Fallon</td>
<td>United States Of America</td>
<td>CID000966</td>
<td>Conformant</td>
</tr>
<tr>
<td>Ganzhou Seadragon W &amp; Mo Co., Ltd.</td>
<td>China</td>
<td>CID002494</td>
<td>Conformant</td>
</tr>
<tr>
<td>A.L.M.T. Corp.</td>
<td>Japan</td>
<td>CID000004</td>
<td>Conformant</td>
</tr>
<tr>
<td>Hunan Chunchang Nonferrous Metals Co., Ltd.</td>
<td>China</td>
<td>CID000769</td>
<td>Conformant</td>
</tr>
<tr>
<td>JSC &quot;Kirovgrad Hard Alloys Plant&quot;</td>
<td>Russia</td>
<td>CID003408</td>
<td>Conformant</td>
</tr>
<tr>
<td>Xiamen Tungsten (H.C.) Co., Ltd.</td>
<td>China</td>
<td>CID002320</td>
<td>Conformant</td>
</tr>
<tr>
<td>Tungsten</td>
<td>Company</td>
<td>Location</td>
<td>CID</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>----------------------------------------------</td>
<td>-------------------</td>
<td>-----------------</td>
</tr>
<tr>
<td>KGETS Co., Ltd.</td>
<td>KGETS Co., Ltd.</td>
<td>Korea, Republic Of</td>
<td>CID003388</td>
</tr>
<tr>
<td>Hunan Chenzhou Mining Co., Ltd.</td>
<td>Hunan Chenzhou Mining Co., Ltd.</td>
<td>China</td>
<td>CID000766</td>
</tr>
<tr>
<td>Xinfeng Huarui Tungsten &amp; Molybdenum New Material Co., Ltd.</td>
<td>Xinfeng Huarui Tungsten &amp; Molybdenum New Material Co., Ltd.</td>
<td>China</td>
<td>CID002830</td>
</tr>
<tr>
<td>Masan Tungsten Chemical LLC (MTC)</td>
<td>Masan Tungsten Chemical LLC (MTC)</td>
<td>Viet Nam</td>
<td>CID002543</td>
</tr>
<tr>
<td>Jiangxi Yaosheng Tungsten Co., Ltd.</td>
<td>Jiangxi Yaosheng Tungsten Co., Ltd.</td>
<td>China</td>
<td>CID002316</td>
</tr>
<tr>
<td>OOO “Technolom” 1</td>
<td>OOO “Technolom” 1</td>
<td>Russian Federation</td>
<td>CID003614</td>
</tr>
<tr>
<td>NPP Tyazhmetprom LLC</td>
<td>NPP Tyazhmetprom LLC</td>
<td>Russian Federation</td>
<td>CID003416</td>
</tr>
<tr>
<td>Albasteel Industria e Comercio de Ligas Para Fundicao Ltd.</td>
<td>Albasteel Industria e Comercio de Ligas Para Fundicao Ltd.</td>
<td>Brazil</td>
<td>CID003427</td>
</tr>
<tr>
<td>OOO “Technolom” 2</td>
<td>OOO “Technolom” 2</td>
<td>Russian Federation</td>
<td>CID003612</td>
</tr>
</tbody>
</table>