**Intro and Consent**

This survey is meant for companies who produce or consume tin, tungsten, tantalum and/or gold (3TG), from miners all the way up the supply chain to original equipment manufacturers (OEM).

This survey is part of a scientific and impartial study, conducted by Tulane University.

The answers you provide in this questionnaire will help all stakeholders concerned better understand the impact of Dodd-Frank Section 1502 on the global 3TG-based markets, provide other companies with benchmarks, and learn about good practice in conflict minerals program implementation.

Indicator input has been provided by a select group of stakeholders representing the auditing, IT, legal, civil society, trade association, government and business communities.

It will take between 10-30 minutes to complete the questionnaire, depending on your answers. Please note that you do not have to complete the questionnaire in one sitting; you can save your responses and resume it at a later time.

This survey is anonymous, unless your company would like to reveal its identity. Unless your company opts to divulge its name, it will not be known to us. No other identifying information (such as your name, email address or IP address) will be collected. All data will be stored in a password-protected electronic format and will only be accessed by Tulane researchers.

With respect to the individual survey respondent, we request that s/he be a company employee or manager who has had direct involvement in the development and implementation of the conflict minerals program to complete this questionnaire.

This study's methodology employs snowball sampling. Which means, upon having participated in this survey, we request that you forward the link to this questionnaire in turn to one or more of your 3TG-related suppliers. This additional step is, however, left entirely to your discretion.

If you have any questions about this survey, please contact Chris N. Bayer, PhD [cbayer@tulane.edu].

If your company does not wish to participate in the research study, please decline participation by clicking on the "disagree" button. Otherwise, click the agree box to proceed.
<table>
<thead>
<tr>
<th>indicator #</th>
<th>respondent group</th>
<th>indicator</th>
<th>note</th>
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</table>

**I. Company Profile**

1. Miners  
   - Upstream  
   - Smelter or Refiner (SOR)  
   - Downstream

Would your company wish to remain anonymous in its participation in this survey? (If yes, please mark YES, refrain from naming your company, and no identifying information will be attributed. If your company does not wish to remain anonymous, mark NO, state its name, and the study’s report may refer to individual companies by name when it comes to the good/best practice discussion.)

   i. YES / NO  
   ii. If NO, state your **company’s name**:

   ………………………………………………

2. For the principal respondent: please specify your **job title** within your company. ……………………………………………………

3. Geographic location:
   - Please indicate the **country** of your company’s primary place of management or control:
     ……………………………………………………
   - Please indicate your city (if your city has less than 1 million inhabitants, please state the city over 1 million inhabitants which is closest to you):
     ……………………………………………………

4. Which **3TG** mineral(s)/metals did your company produce/process (or are found in your products) in 2014? (check all that apply)
   - _______ gold  
   - _______ tungsten  
   - _______ tin  
   - _______ tantalum

5. What is the value, in current US$, of tin, tantalum, tungsten and gold produced/processed by your company in 2014?
   - _______ $ gold  
   - _______ $ tungsten  
   - _______ $ tin  
   - _______ $ tantalum  
   - _______ don’t know  
   - _______ prefer not to indicate

6. How many employees work at your company?
   - _____ 1 employee  
   - _____ 2 - 5 employees  
   - _____ 6 - 10 employees  
   - _____ 11 - 20 employees  
   - _____ 21 - 50 employees  
   - _____ 51 - 100 employees  
   - _____ 101 - 250 employees  
   - _____ 251 - 500 employees  
   - _____ 501 - 1,000 employees
### 7. Annual company revenue (in 2014):
- ___ < US$ 1 million
- ___ US$ 1 million – US$ 5 million
- ___ US$ 5 million – US$ 10 million
- ___ US$ 10 million – US$ 20 million
- ___ US$ 20 million – US$ 50 million
- ___ US$ 50 million – US$ 100 million
- ___ US$ 100 million – US$ 500 million
- ___ US$ 500 million – US$ 1 billion
- ___ US$ 1 billion – US$ 5 billion
- ___ US$ 5 billion – US$ 10 billion
- ___ US$ 10 billion – US$ 20 billion
- ___ US$ 20 billion – US$ 50 billion
- ___ US$ 50 billion – US$ 100 billion
- ___ > US$ 100 billion
- ___ prefer not to state

### 8. Please indicate the position of your company along the 3TG market:
- ___ mining
- ___ upstream (tiers between mine and smelter/refiner)
- ___ smelter or refiner (SOR)
- ___ downstream (tiers from smelter/refiner to OEM)

If mining, please select either:
- ___ Large Scale Mining (LSM), or
- ___ Artisanal non-mechanized and Small scale Mining (ASM)

### 9. Select the activity that generates the most commercial value for your company:
- ___ mining
- ___ regional trading (négociants)
- ___ intermediate processing
- ___ consolidating / exporting of minerals
- ___ international trading of minerals
- ___ concentrate & mineral re-processing
- ___ smelting / refining
- ___ distributing minerals/metals (on exchanges)
- ___ materials processing (including scrap/recycled sources)
- ___ component / sub-assembly manufacturing
- ___ contract manufacturing
- ___ original equipment manufacturer (OEM)

### 10. Industry sector in which your business is situated – check all that apply:
- ___ Aerospace
- ___ Apparel
<table>
<thead>
<tr>
<th>11.</th>
<th>Are you an SEC filer and subject to Dodd-Frank S1502?</th>
</tr>
</thead>
<tbody>
<tr>
<td>i.</td>
<td>YES / NO / Don’t know</td>
</tr>
<tr>
<td>ii.</td>
<td>If YES, did your company file a Form SD and Conflict Minerals Report with the SEC in 2014?</td>
</tr>
<tr>
<td>iii.</td>
<td>If YES, does your company expect to file a Form SD and Conflict Minerals Report with the SEC by June 2, 2015?</td>
</tr>
</tbody>
</table>

**II. Internal Resources Utilized**

<table>
<thead>
<tr>
<th>12.</th>
<th><strong>Upstream</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>SOR</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Downstream</strong></td>
</tr>
</tbody>
</table>

At what point in time did your company start conducting its Reasonable Country of Origin Inquiry (RCOI)?

- ______ year: ................... month: ...................
- ______ not (yet) started

<table>
<thead>
<tr>
<th>13.</th>
<th>Do you have a dedicated (full-time) employee working on your company’s conflict mineral program (CMP)?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A. YES / NO</td>
</tr>
<tr>
<td></td>
<td>B. If YES, since when (month, year) did this position exist?</td>
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<td>........</td>
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</table>

<table>
<thead>
<tr>
<th>14.</th>
<th>How many combined employee hours would you estimate your company has dedicated to its conflict mineral program (CMP)-related activities to date? (or indicate &quot;OUT&quot; if outsourced)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>____ Researching whether 3TG minerals are used in products/production: ......</td>
</tr>
<tr>
<td></td>
<td>____ Establishing / implementing company management systems: ......</td>
</tr>
<tr>
<td></td>
<td>____ Conducting RCOI: .......................</td>
</tr>
<tr>
<td></td>
<td>____ Performing due diligence: .........................</td>
</tr>
<tr>
<td></td>
<td>____ Educating / engaging suppliers: ......................</td>
</tr>
<tr>
<td></td>
<td>____ Reviews / assessments / supplier audits: ...........</td>
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<tr>
<td></td>
<td>____ Reporting findings (e.g. to customers, SEC): ...........</td>
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<tr>
<td></td>
<td>____ Customer-facing efforts (please specify): ............</td>
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<tr>
<td></td>
<td>____ Other CMP-related activity (please specify): ............</td>
</tr>
<tr>
<td>15.</td>
<td>What is the average value (in US$) of compensation (per hour) paid to employees involved in your conflict mineral program (CMP) in your company? ..........................</td>
</tr>
</tbody>
</table>
| 16. | Which department leads the conflict mineral program within your company (i.e. where the highest concentration of effort resides)?  
   - Administrative/Clerical  
   - Compliance/Governance  
   - CSR / Sustainability  
   - Engineering  
   - Environment Health and Safety (EHS)  
   - Internal Audit  
   - Investor Relations  
   - IT / data management service  
   - Legal / regulatory / government affairs  
   - Management/Operations  
   - Purchasing  
   - SEC Reporting/Finance  
   - Senior Company Leaders/Executives  
   - Supply Chain/Procurement/Quality  
   - other, please specify: .......................... |
| 17. | Has your company set up a Conflict Minerals team?  
   A. YES / NO  
   B. If YES, what units/offices are involved?  
      - Administrative/Clerical  
      - Compliance/Governance  
      - CSR / Sustainability  
      - Engineering  
      - Environment Health and Safety (EHS)  
      - Internal Audit  
      - Investor Relations  
      - IT / data management service  
      - Legal / regulatory / government affairs  
      - Management/Operations  
      - Purchasing  
      - SEC Reporting/Finance  
      - Senior Company Leaders/Executives  
      - Supply Chain/Procurement/Quality  
      - other, please specify: .......................... |

**III. IT / Documentation**

| 18. | Does your company collect 3TG-relevant information related to any of the following?  
   - 3TG-related provenance (supply chain links/tiers, including origin)  
   - 3TG-related inspection / audit  
   - 3TG-related production  
   - 3TG-related usage  
   - Upstream  
   - SOR  
   - Downstream |
19. Identify the activity within your supply chain from which you were able to gather information on conflict minerals:

   _____ mining  
   _____ regional trading (négociants)  
   _____ intermediate processing  
   _____ consolidating / exporting of minerals  
   _____ international trading of minerals  
   _____ concentrate & mineral re-processing  
   _____ smelting / refining  
   _____ distributing minerals/metals (on exchanges)  
   _____ materials processing (including scrap/recycled sources)  
   _____ component / sub-assembly manufacturing  
   _____ contract manufacturing  
   _____ original equipment manufacturer (OEM)  

20. Please indicate your company’s general course of action for IT system, software implementation to support conflict minerals traceability processes and/or reporting:

   A. We modified certain existing IT systems/software
   B. We bought or licensed wholly new IT systems/ software
   C. We outsourced data management; our IT needs are being met by others
   D. We had no IT system/ software needs (our existing IT systems and resources already were sufficient to support our needs)
   E. Other, please describe: ………………………………

21. How much of your overall data management services have you outsourced to the IT vendor?

   _____ None  
   _____ Some, but <25%  
   _____ 25 – 50%  
   _____ 50 – 75%  
   _____ More than 75%, but not all 100%  
   _____ 100%  

22. Do you have an Enterprise Resource Planning (ERP) System?

   A. YES / NO

   B. If yes, have you integrated your Conflict Mineral data with your Enterprise Resource Planning (ERP) System?
      - YES / NO

23. Does your company use the Conflict Minerals Reporting Template (CMRT) published by the Conflict-Free Smelter Initiative (CFSI) to collect information from your suppliers?

   A. YES / NO

   B. If yes, do you use a modified version thereof?
      YES / NO
<table>
<thead>
<tr>
<th>Question</th>
<th>Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>C. If yes, do you encourage or require your 3TG-related suppliers to use it?</td>
<td>_____ require</td>
</tr>
<tr>
<td></td>
<td>_____ encourage</td>
</tr>
<tr>
<td>D. If yes, do you also use it to communicate your 3TG-related data to your customers?</td>
<td>YES / NO</td>
</tr>
</tbody>
</table>

| 24. Does your company use a commercially available conflict mineral data platform?          | A. YES / NO                                                              |
|                                                                                           | B. If so, which one(s)?                                                  |
|                                                                                           | _____ Actio                                                              |
|                                                                                           | _____ Assent Compliance Manager                                          |
|                                                                                           | _____ BOMcheck                                                           |
|                                                                                           | _____ Bravo Solutions                                                    |
|                                                                                           | _____ Compliance Data Exchange (CDX)                                     |
|                                                                                           | _____ Crowe Horwath CM Tracker                                          |
|                                                                                           | _____ Ecodesk                                                            |
|                                                                                           | _____ Foresite Systems                                                   |
|                                                                                           | _____ Greensoft                                                          |
|                                                                                           | _____ IBM BPM (adapted)                                                  |
|                                                                                           | _____ Inspirage Agile PX                                                 |
|                                                                                           | _____ iPoint Conflict Minerals Platform (iPCMP)                          |
|                                                                                           | _____ KPMG’s Conflict Minerals Tracking Tool                             |
|                                                                                           | _____ MetricStream                                                       |
|                                                                                           | _____ MRPRO Dashboard (EICC-GeSi)                                       |
|                                                                                           | _____ Policy IQ                                                          |
|                                                                                           | _____ Resilinc                                                           |
|                                                                                           | _____ Source Intelligence                                                |
|                                                                                           | _____ other (please specify): ................................................................|

| 25. Has your company consolidated Conflict Mineral supplier compliance surveys with those for REACH, RoHS, etc.? | A. YES / NO |

| 26. Has your company incurred **IT-related costs** to support your company’s conflict minerals traceability processes and/or reporting? | A. YES / NO |
|                                                                                           | B. If YES, please indicate the expense item:                             |
|                                                                                           | _____ new software                                                       |
|                                                                                           | _____ consultants                                                        |
|                                                                                           | _____ outsourcing IT component                                           |
|                                                                                           | _____ other (please specify): ................................................................|
### IV. Audit / attestation / certification

#### 27. What confidence do you have in information provided by your suppliers? Rank each option on a scale from 1 to 10, with 1 being no confidence and 10 being perfect confidence:

- Applicability (whether 3TG are or are not in your company’s products)
- RCOI
- Due diligence
- Third-party audits of smelters/refiners’ due diligence practices

#### 28. How do you verify/check the accuracy and completeness of CM-related data/information provided by your suppliers? (Please check all that apply):

- Accept all supplier-submitted information as provided
- Compare smelter names and/or IDs against CFS list or other standard industry reference
- Verify that suppliers included smelters for all conflict minerals in their products
- Check for smelters that our company has prohibited from our supply chain
- For smelters or refiners submitted, confirm that the smelters or refiners are legitimate
- Check for sanctioned entities
- Check to see if any 3TG came from Covered Countries
- Conduct other logic check provided by IT vendor or another external party
- Other logic check created by our company (please describe): ..........................................................
- Other (please describe): ..........................................................

#### 29. Did your company conduct any CM-related assessment for products manufactured in 2014?

A. YES / NO

B. If yes, what type of assessment was conducted?
<table>
<thead>
<tr>
<th>30.</th>
<th>Did your company procure an Independent Private Sector Audit (IPSA) (with the two objectives as described in the SEC rule) for products manufactured in 2014?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A. YES / NO</td>
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<tr>
<td></td>
<td>B. If YES, what type of IPSA was conducted?</td>
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<tr>
<td></td>
<td>- Attestation Engagement</td>
</tr>
<tr>
<td></td>
<td>- Performance Audit</td>
</tr>
<tr>
<td></td>
<td>- other (please specify): .................................</td>
</tr>
<tr>
<td></td>
<td>C. If YES, who conducted the audit?</td>
</tr>
<tr>
<td></td>
<td>- Our Financial Statement Auditor</td>
</tr>
<tr>
<td></td>
<td>- Another Big 4 accounting firm</td>
</tr>
<tr>
<td></td>
<td>- Another accounting firm or CPA</td>
</tr>
<tr>
<td></td>
<td>- Non-CPA Auditor</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>31.</th>
<th>Did your company have a CM-related supplier audit carried out on one or more of your suppliers in Compliance Year 2014?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>A. YES / NO</td>
</tr>
<tr>
<td></td>
<td>B. If yes, how many audits did you carry out?  ...............</td>
</tr>
<tr>
<td></td>
<td>C. If yes, what percent (%) of your suppliers did you have audited? ............................</td>
</tr>
<tr>
<td></td>
<td>D. If yes, what was the (estimated) cost of the audit?</td>
</tr>
<tr>
<td></td>
<td>- $25,000</td>
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<tr>
<td></td>
<td>- $50,001 – $100,000</td>
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<td></td>
<td>- $100,001 – $250,000</td>
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<tr>
<td></td>
<td>- $250,001 – $500,000</td>
</tr>
<tr>
<td></td>
<td>- $500,001 – $1 million</td>
</tr>
<tr>
<td></td>
<td>- $1 million</td>
</tr>
<tr>
<td></td>
<td>- Unknown / not estimated</td>
</tr>
</tbody>
</table>
### 32.

Has your company been subject to reviews or audits (for example, by customers) of YOUR conflict minerals programs?

A. YES / NO

B. If YES, how would you characterize these exercises? (check all that apply)
   - _____ Simple questions via email
   - _____ Simple questions as part of periodic, existing reviews (business, quality, supply chain)
   - _____ More detailed reviews, administered remotely (email, online portal, telephone)
   - _____ More detailed reviews, at a location managed by your company
   - _____ In response to the CMRT you submitted

C. If YES, how many of these exercises have you completed? ..............

### 33.

Did your company incur any additional costs verifying supplier data, other than supplier audit or IPSA costs, if applicable?

A. YES / NO

B. If YES, what were the costs associated with your data verification? (in USD) .........................

### 34.

Downstream: What % of smelters and refiners in your supply chain(s) are certified as conflict-free through an audit or who are undergoing the smelter/refiner audit process?

- _____ gold
- _____ tungsten
- _____ tin
- _____ tantalum

### V. Company Policy

### 35.

Downstream: After Dodd-Frank was passed, did your company deliberately mandate that the supply chain include one or more 3TG from the “Covered Countries” (Angola, Burundi, Central African Republic, DRC, Republic of the Congo, Rwanda, South Sudan, Tanzania, Uganda, and Zambia)?

A. YES / NO

B. If NO, did your company allow conflict-free verified material from the region into your products? YES / NO

D. If YES, why? Through what means was this achieved? ..........................................................
| 36. | After Dodd-Frank was passed, did your company request that the supply chain NOT include one or more 3TG from the “Covered Countries” (Angola, Burundi, Central African Republic, DRC, Republic of the Congo, Rwanda, South Sudan, Tanzania, Uganda, and Zambia)?  
   A. YES / NO  
   B. If YES, why? Through what means was this achieved? |
| 37. | In practice, for your company, does “conflict free” effectively mean “Covered Country-free?” (“Covered Countries”: Angola, Burundi, Central African Republic, DRC, Republic of the Congo, Rwanda, South Sudan, Tanzania, Uganda, and Zambia)  
   A. YES / NO  
   B. If YES, how so? …………………………………… |
| 38. | Have you directed your suppliers to ensure that the 3TG smelters and refiners in their supply chain(s) undergo audits to verify compliance with the Conflict-Free Smelter Program (CFSP) or an equivalent audit program?  
   A. YES / NO |
| 39. | Please state your company’s policy vis-à-vis your suppliers sourcing from “conflict-free” smelters?  
   A. require  
   B. recommend and migrate  
   C. do not specify |
| 40. | What % of your customers now require your company to source from “conflict-free” smelters? …………………………………………………… |
| 41. | Does your company direct your suppliers to terminate their relationships with smelters and refiners that do not seek compliance with the CFSI*, LBMA**, RJC***, WGC**** or equivalent independent third-party certification programs, and work with your suppliers to remove these smelters and refiners from the supply chain?  
   A. YES / NO  
*Conflict Free Sourcing Initiative (CFSI)  
**London Bullion Market Association (LBMA)  
***Responsible Jewellery Council (RJC)  
****World Gold Council (WGC) |
| 42. | Has your company terminated or not renewed a contract with a supplier who did not provide requested conflict-related information?  
   A. YES / NO |
| 43. | Going forward, would you discontinue to source from suppliers that don’t ensure that their smelters and refiners participate in a recognized certification protocol to verify compliance with the Conflict-Free Smelter Program (CFSP) or an equivalent certification program?  
  
A. YES / NO |
|---|---|
| 44. | How does your company’s 3TG-related due diligence compare to the OECD due diligence guidelines?  
  
(OECD’s 5-step Due Diligence framework:  
i. Establish strong company management systems  
ii. Identify and assess risk in the supply chain  
iii. Design and implement a strategy to respond to identified risks  
iv. Third-Party audit of smelters/refiners’ due diligence practices  
v. Report annually on supply chain due diligence)  
  
Consistent in every regard  
Very close, with minor differences  
Somewhat consistent, with some notable differences (please specify differences):  
Completely different (please specify differences):  
We adopted another framework (please specify):  
Don’t know |
| 45. | Even if Dodd-Frank S1502 were to be waived or repealed, will your company continue to implement a conflict mineral program (CMP), or an equivalent thereof?  
  
A. YES / NO |
| 46. | Does your company require that the chain-of-custody system from which 3TG are sourced preserve the identity of the mineral (e.g. bag and tag, lot coding)?  
  
A. YES / NO |
| 47. | Does your company pass on the added cost of compliance to your customers?  
  
A. YES / NO |
### VI. Synergy

| 48. | **Upstream** | Does your company support, through purchasing requirements or membership, any of the following in-region initiatives:  
- Solutions for Hope (SfH) closed pipe system  
- ITRI Tin Supply Chain Initiative (iTSCI)  
- ICGLR Certification  
- BGR Certified Trading Chains  
- Conflict Free Tin Initiative  
- KEMET’s Partnership for Social and Economic Stability  
- Partnership Africa Canada  
- Better Sourcing Program  
- Public-Private Alliance for Responsible Minerals Trade  
- Other (please specify): .................................................. |
| **SOR** |  |  |
| **Downstream** |  |  |

|  | **Upstream** | Does your company support, through purchasing requirements or membership, any of the following sourcing/certification/standards programs:  
- Conflict Free Sourcing Program (CFSP) by EICC-GeSI  
- Responsible Jewellery Council (RJC)’s Chain of Custody Certification  
- London Bullion Market Association (LBMA)’s Good Delivery  
- World Gold Council (WGC)’s Conflict-Free Gold Standard  
- Other, please specify: .................................................. |
| **SOR** |  |  |
| **Downstream** |  |  |

### VII. Dodd-Frank S1502 effects / externalities

| 50. | **Upstream** | What is the main issue/challenge that your company encountered with respect to Dodd-Frank S1502 compliance in the first and second reporting year?  
- 2013: ……………………………………………  
- 2014: …………………………………………… |
| **SOR** |  |  |
| **Downstream** |  |  |

| 51. |  | What is expected to be the biggest issue/challenge for year three (2015)?  
................................................................. |

| 52. |  | How did you (or how do you propose to) address/overcome that main issue/challenge that your company encountered with respect to Dodd-Frank S1502 compliance in the first reporting year, the second reporting year, and the third year? E.g. what methods or tools did your company identify to improve the process?  
- 2013: ……………………………………………  
- 2014: ……………………………………………  
- 2015: …………………………………………… |

| 53. |  | Overall, how do you perceive, from a scale of 1-10 (1 being very negative and 10 being very positive) the impact of Dodd-Frank S1502 on your company?  
................................................................. |
| 54. | Downstream: | Dodd Frank S1502 has made it harder for any 3TG controlled by armed groups in the covered regions to enter the U.S. market.  
*Agree / Neither agree nor disagree / Disagree* |
| 55. |  | In general, our company is witnessing an increased customer/consumer demand for conflict-free products.  
*Agree / Neither agree nor disagree / Disagree* |
| 56. | Mining (covered countries): | How are you organized?  
- ____ individual miner  
- ____ loosely knit group of miners  
- ____ cooperative of miners  
- ____ registered company |
| 57. |  | How long have you been in the mining business? (in years) |
| 58. |  | Since 2009, have you moved/migrated?  
A. YES / NO  
B. If YES, how many times did you move/migrate?  
C. If YES, what were the reasons for your move/migration?  
- ____ found access to legal markets  
- ____ couldn't earn money  
- ____ interference of military or armed groups  
- ____ depletion of mining site's resources  
- ____ lack of markets/buyers  
- ____ other, please explain: ........................................ |
| 59. |  | Did, at any point since 2009, you stop mining tin, tungsten or tantalum to mine for gold?  
i. YES / NO  
ii. If YES, please state the reason:  
- ____ The certificat d'origine was easier to obtain  
- ____ There were more buyers of gold  
- ____ Gold was easier to transport  
- ____ The price of gold was closer to the international price, compared to the 3Ts  
- ____ other (please state): ........................................ |
| 60. |  | Have you ever had connections with an armed group?  
A. YES / NO  
B. If YES, were you a member of an armed group?  
   YES / NO  
C. If YES, did you return to mining after some time? |
<p>| | |</p>
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</table>
| 61. | • Miners (covered countries)  
• Upstream  
Has the price of the specific 3TG you sell risen or fallen since 2009?  
Specify 3TG: ..................................  
i. _____ risen  
ii. _____ fallen  
iii. _____ no appreciable change  
If i. or ii., by what percentage? |
| 62. | Has it been easier or harder to sell your 3TG since 2009?  
Specify 3TG mineral: ..............................  
i. _____ easier  
ii. _____ harder  
iii. _____ no appreciable change |
| 63. | Since 2009, are you profiting less or more from 3TG sales?  
Specify 3TG: ..................................  
i. _____ more  
ii. _____ less  
iii. _____ no appreciable change  
If i. or ii., by what percentage? |
| 64. | Do the 3TG minerals you sell enter a closed-pipe program?  
i. YES / NO / don’t know |
| 65. | To date, have you benefitted from any of the following in-region initiatives?  
   - Solutions for Hope (SfH) closed pipe system  
   - ITRI Tin Supply Chain Initiative (iTSCI)  
   - ICGLR Certification  
   - BGR Certified Trading Chains  
   - Conflict Free Tin Initiative (CFTI)  
   - KEMET’s Partnership for Social and Economic Stability  
   - Partnership Africa Canada  
   - Better Sourcing Program (BSP)  
   - GeoTraceability (PwC)  
   - Public-Private Alliance for Responsible Minerals Trade  
   - other (please specify): .................................................. |
| 66. | If you are part of such a traceability scheme, is there any extra cost?  
i. _____ YES  
ii. _____ NO  
iii. _____ Minimal <1%  
If YES, how much is the extra cost to participate relative to the unit price? |
### VI. General Analysis

**67.** Within the last 12 months, have you seen an increase in foreign investment to the sector?
   - A. **YES** / **NO**
   - B. If **YES**, please provide an example: 

<table>
<thead>
<tr>
<th>Percentage Range</th>
<th>True Or False</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-5% of unit price</td>
<td>[ ]</td>
</tr>
<tr>
<td>6-10% of unit price</td>
<td>[ ]</td>
</tr>
<tr>
<td>11-20% of unit price</td>
<td>[ ]</td>
</tr>
<tr>
<td>21-50% of unit price</td>
<td>[ ]</td>
</tr>
<tr>
<td>51% or more of unit price</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

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</tr>
<tr>
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<td>[ ]</td>
</tr>
</tbody>
</table>

### VII. Good/Best Practices

**68.** Please describe any other way(s) you believe Dodd-Frank S1502 has **directly** impacted your company:

- [ ] Mining
- [ ] Upstream
- [ ] SOR
- [ ] Downstream

**69.** Please describe (in 50 - 500 words) **ONE** good/best practice your company implemented in order to complete the OECD’s 5-step Due Diligence framework:

- i. **Establish strong company management systems**
- ii. **Identify and assess risk in the supply chain**
- iii. **Design and implement a strategy to respond to identified risks**
- iv. **Third-Party audit of smelters/refiners' due diligence practices**
- v. **Report annually on supply chain due diligence**

### IX. Request

70. Thank you very much for taking the time to complete this questionnaire. The more participation, the more complete our collective perspective will be on the aggregate impact of Dodd-Frank S1502. Since we are relying on the snowball method to get this survey rolling, would you kindly request a few of your suppliers to also participate in this survey? To do so, kindly forward them the email with the survey URL and password. **YES** / **NO**

*Thank you for participating in this survey!*