
**UNITED STATES
SECURITIES AND EXCHANGE COMMISSION**
Washington, D.C. 20549

FORM SD

Specialized Disclosure Report

ECOLAB INC.

(Exact name of registrant as specified in its charter)

Delaware

(State or other jurisdiction of
incorporation or organization)

1-9328

(Commission File Number)

41-0231510

(IRS Employer Identification No.)

1 Ecolab Place, Saint Paul, Minnesota

(Address of principal executive offices)

55102

(Zip Code)

Michael C. McCormick, Esq., Executive Vice President, General Counsel and Secretary 1-800-232-6522

(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:

- Rule 13p-1 under the Securities Exchange Act (17CFR 240.13p-1) for the reporting period from January 1 to December 31, 2017.
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Section 1 – Conflict Minerals Disclosure

Item 1.01 Conflict Minerals Disclosure and Report

Except where the context otherwise requires, references in this Form SD to “Ecolab,” “Company,” “we” and “our” are to Ecolab Inc.

Ecolab has filed a Conflict Minerals Report for the reporting period from January 1, 2017 to December 31, 2017. The Conflict Minerals Report is provided as an exhibit to this Form SD and is publicly available at <https://www.ecolab.com/about/suppliers/conflict-mineral-policy>. The information contained on our website is not incorporated by reference into this Form SD or our Conflict Minerals Report and should not be considered part of this report or the Conflict Minerals Report.

Information concerning conflict minerals from recycled or scrap sources that may be contained in our in-scope products is included in the Conflict Minerals Report and is incorporated in this Form SD by reference.

Item 1.02 Exhibit

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

Section 2 - Exhibits

Item 2.01 Exhibits

Exhibit

<u>No.</u>	<u>Document</u>	<u>Method of Filing</u>
1.01	Conflict Minerals Report for the reporting period from January 1, 2017 to December 31, 2017.	Filed herewith electronically.

SIGNATURE

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.

ECOLAB INC.
(Registrant)

By: /s/ Michael C. McCormick
Name: Michael C. McCormick
Title: Executive Vice President,
General Counsel and Secretary

May 25, 2018

CONFLICT MINERALS REPORT OF 2017
TO
FORM SD SPECIALIZED DISCLOSURE REPORT
OF
ECOLAB INC.

Forward-Looking Statements

This document contains forward-looking statements within the meaning of the federal securities laws. Any statements that do not relate to historical or current facts or matters are forward-looking statements. You can identify some of the forward-looking statements by the use of forward-looking words, such as “intend” and the like, or the use of the future tense. Statements concerning current conditions may also be forward-looking if they imply a continuation of current conditions. Examples of forward-looking statements include, but are not limited to, statements concerning the additional steps that we intend to take to mitigate the risk that our necessary 3TG (as such term is defined below) benefit armed groups.

Forward-looking statements are subject to risks and uncertainties that could cause actual actions or performance to differ materially from those expressed in the forward-looking statements. These risks and uncertainties include, but are not limited to, (1) the continued implementation of satisfactory traceability and other compliance measures by our direct and indirect suppliers on a timely basis or at all, (2) whether smelters and refiners and other market participants responsibly source 3TG, (3) the accuracy and validity of the audits conducted under the Responsible Minerals Assurance Process (“RMAP”) assessment protocols and analogous audit programs with which the Responsible Minerals Initiative (“RMI”) has a mutual recognition agreement and (4) political and regulatory developments, whether in the Democratic Republic of the Congo (“DRC”) region, the United States or elsewhere. You are cautioned not to place undue reliance on these forward-looking statements, which speak only as of the date of the filing of this document. We do not intend, and undertake no obligation, to publish revised forward-looking statements to reflect events or circumstances after the date of the filing of this document or to reflect the occurrence of unanticipated events.

I. Introduction

Except where the context otherwise requires, references in this Conflict Minerals Report to “Ecolab,” “Company,” “we” and “our” are to Ecolab Inc. and its subsidiaries, collectively. As used herein and consistent with the Conflict Minerals Rule (as such term is defined below), (1) “Conflict Minerals” or “3TG” are columbite-tantalite (coltan), cassiterite, gold and wolframite, and their metallic-form derivatives tantalum, tin and tungsten, without regard to the location of origin of the minerals or derivative metals, and (2) the “Conflict Minerals Rule” is, collectively, Rule 13p-1 under the Securities Exchange Act of 1934, as amended, and Form SD.

Applicability of the Conflict Minerals Rule to Our Company

We are the global leader in water, hygiene and energy technologies and services that protect people and vital resources. We deliver comprehensive programs, products and services to promote safe food, maintain clean environments, optimize water and energy use, and improve operational efficiencies for customers in the food, healthcare, energy, hospitality and industrial markets in more than 170 countries around the world. Our cleaning and sanitizing programs and products, and pest elimination services support customers in the foodservice, food and beverage processing, hospitality, healthcare, government and education, retail, textile care and commercial facilities management sectors. Our products and technologies are also used in water treatment, pollution control, energy conservation, oil production and refining, steelmaking, papermaking, mining and other industrial processes.

We are required to make filings pursuant to the Conflict Minerals Rule because some of the products that we manufacture or contract to manufacture, in particular certain components of our control and dispensing equipment and healthcare product offerings, contain metallic forms of 3TG that are necessary to the functionality or production of the products. Not all of our products contain 3TG. The 3TG content in our products accounts for only a small percentage of the total materials content and our products with 3TG content accounted for less than 1% of our 2017 total sales. Our in-scope products taken together as a whole include all four 3TG, though each in-scope product does not include all four 3TG.

We do not directly source 3TG from mines, smelters or refiners, and we believe that we are in most cases many levels removed from these market participants. However, through the efforts described in this Conflict Minerals Report, we seek to ensure that our sourcing practices are consistent with our Conflict Minerals Policy described below.

Reasonable Country of Origin Information

As required by the Conflict Minerals Rule, for 2017, we conducted a “reasonable country of origin inquiry” (“RCOI”) of the direct suppliers of the components, parts or products believed by us to contain 3TG. Our RCOI was reasonably designed to determine in good faith whether any of the 3TG in our in-scope products may have originated or did originate in the DRC or an adjoining country or from recycled or scrap sources. For our RCOI, we utilized the processes and procedures contemplated by Steps 1 and 2 of the OECD Guidance (as defined below). These steps of the OECD Guidance are described under “Design of Due Diligence Measures” and “Due Diligence Measures Performed by Ecolab.”

In connection with our RCOI, product-level supplier surveys identified to us 313 smelters and refiners that processed the necessary 3TG contained in our in-scope products. The percentage of these smelters and refiners that were listed as “conformant” by the RMI with applicable RMAP assessment protocols, “active” with respect to progressing to compliance with such protocols, and not conformant or active as of May 16, 2018 are set forth in the table below. These smelters and refiners and their compliance status are listed on Annexes I and II.

Smelter or Refiner Status	Conflict Minerals									
	Gold		Tantalum		Tin		Tungsten		Total	
	No.	%	No.	%	No.	%	No.	%	No.	%
Conformant	99	69.7 %	40	97.6 %	73	86.9 %	40	87.0 %	252	80.5 %
Active	8	5.6 %	0	0.0 %	2	2.4 %	1	2.2 %	11	3.5 %
Not Conformant or Active	35	24.6 %	1	2.4 %	9	10.7 %	5	10.9 %	50	16.0 %

To help achieve a greater level of specificity in determining the countries of origin of the 3TG processed by the smelters and refiners identified by our suppliers, we continued our practice of enlisting the services of a third-party service provider (the “Reviewer”) to review the smelters and refiners identified to us and provide us with a list of the related countries of origin and plausible countries of origin known to it. The identified countries of origin are listed below under “Product, Smelter and Refiner and Country of Origin Information.” Our country of origin and plausibility determinations are derived from information known to us as an RMI member and information provided to us by the Reviewer. This information is based on, among other things, RMAP audits, smelter and refiner disclosures, other information known to the Reviewer and RMI through their work in this subject area and mineral origin information in reports published by the U.S. Geological Survey. Certain of the other compliance activities described in this Conflict Minerals Report also were performed on our behalf by the Reviewer.

Based on the information provided by the Reviewer and our own analysis of that information, we had reason to believe that some of the identified smelters and refiners sourced from the DRC and its adjoining countries. Based on the results of our RCOI, we conducted due diligence for 2017. These due diligence efforts are discussed below.

II. Design of Due Diligence Measures

We designed our 3TG compliance procedures based on, and in conformity in all material respects with, the applicable portions of the five step framework of the *OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas* (2016 Third Edition), including the supplements on tin, tantalum and tungsten and gold (the “OECD Guidance”). Selected elements of our program design are discussed below. The headings below conform to the headings used in the OECD Guidance for each of the five steps. Selected due diligence measures that we took in respect of 2017 are discussed below under “Due Diligence Measures Performed by Ecolab.”

1. Establish strong company management systems

a. We have a team of responsible personnel from our regulatory affairs, global supply chain, legal, and research and development functions for the management and continued implementation of our 3TG compliance strategy. We also utilize specialist outside counsel and other advisors to assist us with our compliance efforts.

b. We have adopted and communicate to our suppliers and the public a company policy regarding 3TG (the “Conflict Minerals Policy”) for our supply chain. Among other things, the Conflict Minerals Policy contains our expectations that our suppliers: (i) supply materials to Ecolab that are “DRC Conflict-Free”; (ii) adopt policies and management systems with respect to 3TG and require their suppliers to adopt similar policies and systems; (iii) establish their own due diligence program to ensure conflict-free supply chains; and (iv) respond to

survey requests in a timely manner, and with full disclosure, following the specific instructions provided. The Conflict Minerals Policy indicates that, in the event Ecolab determines that a supplier's efforts to comply with the Conflict Minerals Policy have been deficient and the supplier fails to cooperate in developing and implementing reasonable remedial steps, Ecolab reserves the right to take appropriate actions up to and including discontinuing purchases from the supplier. Our policy is available on our website at <https://www.ecolab.com/about/suppliers/conflict-mineral-policy>.

Through our procurement policies and industry association membership and participation we support responsible sourcing from the DRC region. We do not support embargoes of the region.

c. We utilize the Conflict Minerals Reporting Template (the "Conflict Minerals Reporting Template") developed by the RMI to identify smelters and refiners in our supply chain. The Conflict Minerals Reporting Template requests suppliers to provide information concerning the usage and source of 3TG in the products they provide Ecolab, as well as information concerning their related compliance efforts.

d. We are a member of the RMI. Company personnel on our Conflict Minerals practices team are members of the RMI due diligence practices team. Additionally, we participate as a member of the Conflict Minerals Task Force in the Twin Cities (Minneapolis-St. Paul) for the purpose of aligning our approach and establishing best practices with other firms with respect to compliance with the Conflict Minerals Rule.

e. We have implemented an IT solution managed by a third party to engage our direct suppliers and to maintain responses relating to 3TG due diligence, including records of due diligence processes, findings and resulting decisions, in an electronic format for at least five years.

f. Our procurement terms and conditions contain provisions relating to the sourcing of 3TG to be contained in our products.

g. We include as a part of our supplier quality review process inquiries concerning the supplier's policies and procedures relating to 3TG sourcing.

h. In addition to other reporting methods set forth on our website and in our Code of Conduct and Supplier Code of Conduct, which is available on our website, we have a dedicated email address, conflictminerals@ecolab.com, which can be used by interested internal and external parties to contact Ecolab with respect to its supplier surveys, Conflict Minerals Policy and related matters such as grievances, concerns and other possibly relevant information. This email serves as our grievance mechanism.

2. Identify and assess risk in the supply chain

a. We request that suppliers provide us with information concerning the usage and source of 3TG in the parts that they sell to us and their related compliance efforts through the completion of a Conflict Minerals Reporting

Template. We follow up by email with suppliers that do not respond to the request within a specified time frame.

b. Our IT solution utilizes programming logic to review the Conflict Minerals Reporting Templates that we receive from suppliers and flags responses not conforming to specified criteria.

c. Smelter and refiner data is reviewed for us through the IT solution and by the Reviewer to verify, to the extent known by the Reviewer based on its research and other information as described earlier in this Conflict Minerals Report, (a) the validity of the smelters and refiners identified to us by the suppliers, (b) the audit status of such smelters and refiners, (c) the country of origin of the 3TG processed by such smelters and refiners, (d) the plausibility of the identified countries of origin having 3TG reserves or mines, and (e) whether such smelters and refiners obtained 3TG from sources that directly or indirectly financed or benefitted armed groups in the DRC or an adjoining country.

3. *Design and implement a strategy to respond to identified risks*

We have procedures for monitoring and reporting on risk to designated senior management, including our Executive Vice President, General Counsel and Secretary, on an ongoing basis. Pursuant to these procedures, our 3TG compliance team also reports the findings of its compliance efforts to a steering committee comprised of management personnel from our global supply chain, regulatory affairs, legal, and research and development functions.

We utilize a risk mitigation framework that allows for a flexible response commensurate with the risks identified. Under the framework, actions range from supplier education and follow-up to discontinuing purchases from a supplier.

In addition, to the extent that identified smelters and refiners are not listed as conformant, we seek to exercise leverage over these smelters and refiners to become so through our participation in and support of the RMI. We also utilize information provided by the RMI to its members to monitor smelter and refiner improvement.

4. *Carry out independent third-party audit of supply chain due diligence at identified points in the supply chain*

We support the RMAP through our membership in the RMI. The RMAP uses an independent third-party audit of smelter and refiner management systems and sourcing practices to validate conformance with RMAP protocols and current global standards. The audit employs a risk-based approach to validate smelters' and refiners' company level management processes for responsible mineral procurement.

In connection with our due diligence, we utilize and rely on information made available by the RMI concerning RMAP audits to assess smelter and refiner due diligence and to determine whether a smelter or refiner is conformant.

The data on which we relied for certain statements in this Conflict Minerals Report was obtained through our membership in the RMI.

5. Report on supply chain due diligence

We file a Form SD and a Conflict Minerals Report with the Securities and Exchange Commission and make these documents available on our website at <https://www.ecolab.com/about/suppliers/conflict-mineral-policy>.

III. Due Diligence Measures Performed by Ecolab

Ecolab has performed the due diligence and related measures set forth below in respect of 2017. These are not all of the measures that we took in respect of 2017 in furtherance of our Conflict Minerals Policy and 3TG compliance program or pursuant to the Conflict Minerals Rule and the OECD Guidance.

We continued to refine and improve our product scoping processes. These process improvements led to a 40% reduction in the number of our in-scope suppliers, thereby enabling us to better focus our risk mitigation efforts.

We sent requests to our in-scope suppliers to provide us with a completed Conflict Minerals Reporting Template. We made repeated follow-up requests with the suppliers that did not provide a response within the specified time frame.

We reviewed the completed responses received from the suppliers based on our approved review criteria to identify incomplete responses and specified sourcing risks and sent follow-up emails to suppliers providing incomplete or non-conforming responses.

This year we implemented a new IT solution managed by a third party. This IT solution provided better functionality and processes for validating data. We utilized the IT solution and the Reviewer to verify, to the extent known by the Reviewer based on its research and other information as described in this Conflict Minerals Report, (a) the validity of the smelters and refiners identified to us by the suppliers, (b) the audit status of such smelters and refiners, (c) the country of origin of the 3TG processed by such smelters and refiners, (d) the plausibility of the identified countries of origin having 3TG reserves or mines, and (e) whether such smelters and refiners obtained 3TG from sources that directly or indirectly financed or benefitted armed groups in the DRC or an adjoining country.

Our 3TG compliance team reported the findings of its compliance efforts in respect of 2017 to our management steering committee, which is described earlier in this Conflict Minerals Report.

We participated in independent third-party audits of smelters and refiners through our membership in the RMI. In addition, our Conflict Minerals practices team personnel were members of the RMI due diligence practices team.

IV. Product, Smelter and Refiner and Country of Origin Information

In-Scope Product Categories

For 2017, our in-scope products were in the following product categories:

- A. Equipment used for the control and dispensing of chemical products.

B. Healthcare patient management systems and other miscellaneous components related to our Healthcare products.

Identified Smelters and Refiners

In connection with our due diligence, the suppliers identified to us the verified smelters and refiners listed in Annex I and Annex II below as having processed the necessary 3TG contained in our in-scope products in 2017. However, not all of the included smelters and refiners may have processed the necessary 3TG contained in our in-scope products. In some cases, suppliers may have reported to us smelters and refiners that were not in our supply chain due to over-inclusiveness in the information received from their suppliers or for other reasons. The smelters and refiners listed in the Annexes may not be all of the smelters and refiners in our supply chain, since the suppliers may have been unable to identify the smelters and refiners of some of the necessary 3TG content contained in our in-scope products and because not all suppliers responded to our inquiries.

Annex I provides a list of smelters and refiners reported by the RMI as conformant with applicable RMAP assessment protocols or active with respect to progressing to compliance with such protocols. Annex II provides a list of verified smelters and refiners that were not conformant or active.

Potential Countries of Origin

In addition to sourcing from recycled and scrap sources, based on information received from the Reviewer, Ecolab believes the country of origin of the 3TG sourced by the smelters and refiners in the Annexes may include the following: Angola, Argentina, Australia, Austria, Bolivia, Brazil, Cambodia, Canada, Central African Republic, Chile, China, Colombia, Republic of the Congo, Czech Republic, the DRC, Djibouti, Ecuador, Egypt, Estonia, Ethiopia, France, Germany, Guyana, India, Indonesia, Ireland, Ivory Coast, Japan, Kazakhstan, Kyrgyzstan, Laos, Madagascar, Malaysia, Mexico, Mongolia, Mozambique, New Zealand, Nigeria, Peru, Philippines, Poland, Portugal, Republic of Korea, Russian Federation, Rwanda, South Africa, Spain, Switzerland, Taiwan, Thailand, Turkey, United States, Viet Nam, and Zimbabwe.

For 2017, notwithstanding our compliance efforts, we may not have been able to determine the facilities at which at least a portion of the necessary 3TG contained in each of our in-scope products were processed. We also may not have been able to determine the country of origin for at least a portion of the necessary 3TG contained in each of our in-scope products. None of the necessary 3TG contained in our in-scope products were determined by us to directly or indirectly finance or benefit armed groups in the DRC or an adjoining country. However, we did not conclude that any of our products were “DRC conflict free.” The terms “adjoining country,” “armed group” and “DRC conflict free” have the meanings contained in the Conflict Minerals Rule.

We endeavored to determine the mine or location of origin of the necessary 3TG contained in our in-scope products by requesting that the suppliers provide us with a completed Conflict Minerals Reporting Template and through the other measures described in this Conflict Minerals Report. Additionally, information made available by the RMI to its members and the Reviewer assisted us in determining whether the smelters and refiners identified to us by our suppliers obtained 3TG from sources that directly or indirectly financed or benefitted armed groups in the DRC or an adjoining country to the extent known by the Reviewer from its research.

V. Steps to Improve Due Diligence

We intend to take the following additional steps to mitigate the risk that the necessary 3TG in our in-scope products benefit armed groups:

- Continue to refine scoping efforts to reduce the number of suppliers that we believe supply us with components, parts or products containing 3TG.
- Increase engagement with suppliers that were unresponsive or provided non-conforming responses.
- Utilize the improved functionality provided by our IT solution to increase the number of product-level responses received from our suppliers.
- Continue our membership in the RMI.

ANNEX I

List of Facilities Conformant with RMAP Protocols or on RMI Active List

Smelter or Refiner Name	Mineral	Smelter or Refiner Status	Smelter or Refiner Location
Advanced Chemical Company	Gold	Conformant	United States
Aida Chemical Industries Co., Ltd.	Gold	Conformant	Japan United Arab Emirates
Al Etihad Gold LLC	Gold	Conformant	Emirates
Allgemeine Gold-und Silberscheideanstalt A.G.	Gold	Conformant	Germany
Almalyk Mining and Metallurgical Complex (AMMC)	Gold	Conformant	Uzbekistan
AngloGold Ashanti Corrego do Sitio Mineracao	Gold	Conformant	Brazil
Argor-Heraeus S.A.	Gold	Conformant	Switzerland
Asahi Pretec Corp.	Gold	Conformant	Japan
Asahi Refining Canada Ltd.	Gold	Conformant	Canada
Asahi Refining USA Inc.	Gold	Conformant	United States
Asaka Riken Co., Ltd.	Gold	Conformant	Japan
AU Traders and Refiners	Gold	Conformant	South Africa
Aurubis AG	Gold	Conformant	Germany
Bangalore Refinery	Gold	Active	India
Bangko Sentral ng Pilipinas (Central Bank of the Philippines)	Gold	Conformant	Philippines
Boliden AB	Gold	Conformant	Sweden
C. Hafner GmbH + Co. KG	Gold	Conformant	Germany
Cendres + Metaux S.A.	Gold	Conformant	Switzerland
Chimet S.p.A.	Gold	Conformant	Italy
Daejin Indus Co., Ltd.	Gold	Conformant	Republic of Korea
DODUCO Contacts and Refining GmbH	Gold	Conformant	Germany
Dowa	Gold	Conformant	Japan
DS PRETECH Co., Ltd.	Gold	Active	Republic of Korea
DSC (Do Sung Corporation)	Gold	Conformant	Republic of Korea
Eco-System Recycling Co., Ltd.	Gold	Conformant	Japan United Arab Emirates
Emirates Gold DMCC	Gold	Conformant	Emirates
Geib Refining Corporation	Gold	Conformant	United States
Gold Refinery of Zijin Mining Group Co., Ltd.	Gold	Conformant	China
HeeSung Metal Ltd.	Gold	Conformant	Republic of Korea
Heimerle + Meule GmbH	Gold	Conformant	Germany
Heraeus Metals Hong Kong Ltd.	Gold	Conformant	China
Heraeus Precious Metals GmbH & Co. KG	Gold	Conformant	Germany
Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd.	Gold	Conformant	China

Smelter or Refiner Name	Mineral	Smelter or Refiner Status	Smelter or Refiner Location
Ishifuku Metal Industry Co., Ltd.	Gold	Conformant	Japan
Istanbul Gold Refinery	Gold	Conformant	Turkey
Italpreziosi	Gold	Conformant	Italy
Japan Mint	Gold	Conformant	Japan
JSC Ekaterinburg Non-Ferrous Metal Processing Plant	Gold	Conformant	Russian Federation
JSC Uralelectromed	Gold	Conformant	Russian Federation
JX Nippon Mining & Metals Co., Ltd.	Gold	Conformant	Japan
Kazzinc	Gold	Conformant	Kazakhstan
Kennecott Utah Copper LLC	Gold	Conformant	United States
KGHM Polska Miedz Spolka Akcyjna	Gold	Active	Poland
Kojima Chemicals Co., Ltd.	Gold	Conformant	Japan
Korea Zinc Co., Ltd.	Gold	Conformant	Republic of Korea
Kyrgyzaltyn JSC	Gold	Conformant	Kyrgyzstan
L'Orfebvre S.A.	Gold	Active	Andorra
LS-NIKKO Copper Inc.	Gold	Conformant	Republic of Korea
Marsam Metals	Gold	Conformant	Brazil
Materion	Gold	Conformant	United States
Matsuda Sangyo Co., Ltd.	Gold	Conformant	Japan
Metalor Technologies (Hong Kong) Ltd.	Gold	Conformant	China
Metalor Technologies (Singapore) Pte., Ltd.	Gold	Conformant	Singapore
Metalor Technologies (Suzhou) Ltd.	Gold	Conformant	China
Metalor Technologies S.A.	Gold	Conformant	Switzerland
Metalor USA Refining Corporation	Gold	Conformant	United States
Metalurgica Met-Mex Penoles S.A. De C.V.	Gold	Conformant	Mexico
Mitsubishi Materials Corporation	Gold	Conformant	Japan
Mitsui Mining and Smelting Co., Ltd.	Gold	Conformant	Japan
MMTC-PAMP India Pvt., Ltd.	Gold	Conformant	India
Modeltech Sdn Bhd	Gold	Active	Malaysia
Moscow Special Alloys Processing Plant	Gold	Conformant	Russian Federation
Nadir Metal Rafineri San. Ve Tic. A.S.	Gold	Conformant	Turkey
NH Recytech Company	Gold	Active	Republic of Korea
Nihon Material Co., Ltd.	Gold	Conformant	Japan
Ogussa Osterreichische Gold- und Silber-Scheideanstalt GmbH	Gold	Conformant	Austria
Ohura Precious Metal Industry Co., Ltd.	Gold	Conformant	Japan
OJSC "The Gulidov Krasnoyarsk Non-Ferrous Metals Plant" (OJSC Krastsvetmet)	Gold	Conformant	Russian Federation
OJSC Novosibirsk Refinery	Gold	Conformant	Russian Federation
PAMP S.A.	Gold	Conformant	Switzerland

Smelter or Refiner Name	Mineral	Smelter or Refiner Status	Smelter or Refiner Location
Planta Recuperadora de Metales SpA	Gold	Conformant	Chile
Prioksky Plant of Non-Ferrous Metals	Gold	Conformant	Russian Federation
PT Aneka Tambang (Persero) Tbk	Gold	Conformant	Indonesia
PX Precinox S.A.	Gold	Conformant	Switzerland
Rand Refinery (Pty) Ltd.	Gold	Conformant	South Africa
Remondis Argentia B.V.	Gold	Active	Netherlands
Republic Metals Corporation	Gold	Conformant	United States
Royal Canadian Mint	Gold	Conformant	Canada
SAAMP	Gold	Conformant	France
Safimet S.p.A.	Gold	Conformant	Italy
SAFINA A.S.	Gold	Active	Czech Republic
Samduck Precious Metals	Gold	Conformant	Republic of Korea
SAMWON METALS Corp.	Gold	Conformant	Republic of Korea
SAXONIA Edelmetalle GmbH	Gold	Conformant	Germany
SEMPSA Joyeria Plateria S.A.	Gold	Conformant	Spain
Shandong Zhaojin Gold & Silver Refinery Co., Ltd.	Gold	Conformant	China
Sichuan Tianze Precious Metals Co., Ltd.	Gold	Conformant	China
Singway Technology Co., Ltd.	Gold	Conformant	Taiwan
SOE Shyolkovsky Factory of Secondary Precious Metals	Gold	Conformant	Russian Federation
Solar Applied Materials Technology Corp.	Gold	Conformant	Taiwan
Sumitomo Metal Mining Co., Ltd.	Gold	Conformant	Japan
SungEel HiMetal Co., Ltd.	Gold	Conformant	Republic of Korea
T.C.A. S.p.A.	Gold	Conformant	Italy
Tanaka Kikinzoku Kogyo K.K.	Gold	Conformant	Japan
The Refinery of Shandong Gold Mining Co., Ltd.	Gold	Conformant	China
Tokuriki Honten Co., Ltd.	Gold	Conformant	Japan
Torecom	Gold	Conformant	Republic of Korea
Umicore Brasil Ltda.	Gold	Conformant	Brazil
Umicore Precious Metals Thailand	Gold	Conformant	Thailand
Umicore S.A. Business Unit Precious Metals Refining	Gold	Conformant	Belgium
United Precious Metal Refining, Inc.	Gold	Conformant	United States
Valcambi S.A.	Gold	Conformant	Switzerland
Western Australian Mint (T/a The Perth Mint)	Gold	Conformant	Australia
WIELAND Edelmetalle GmbH	Gold	Conformant	Germany
Yamakin Co., Ltd.	Gold	Conformant	Japan
Yokohama Metal Co., Ltd.	Gold	Conformant	Japan
Zhongyuan Gold Smelter of Zhongjin Gold Corporation	Gold	Conformant	China

Smelter or Refiner Name	Mineral	Smelter or Refiner Status	Smelter or Refiner Location
Asaka Riken Co., Ltd.	Tantalum	Conformant	Japan
Changsha South Tantalum Niobium Co., Ltd.	Tantalum	Conformant	China
D Block Metals, LLC	Tantalum	Conformant	United States
Exotech Inc.	Tantalum	Conformant	United States
F&X Electro-Materials Ltd.	Tantalum	Conformant	China
FIR Metals & Resource Ltd.	Tantalum	Conformant	China
Global Advanced Metals Aizu	Tantalum	Conformant	Japan
Global Advanced Metals Boyertown	Tantalum	Conformant	United States
Guangdong Rising Rare Metals-EO Materials Ltd.	Tantalum	Conformant	China
Guangdong Zhiyuan New Material Co., Ltd.	Tantalum	Conformant	China
H.C. Starck Co., Ltd.	Tantalum	Conformant	Thailand
H.C. Starck Hermsdorf GmbH	Tantalum	Conformant	Germany
H.C. Starck Inc.	Tantalum	Conformant	United States
H.C. Starck Ltd.	Tantalum	Conformant	Japan
H.C. Starck Smelting GmbH & Co. KG	Tantalum	Conformant	Germany
H.C. Starck Tantalum and Niobium GmbH	Tantalum	Conformant	Germany
Hengyang King Xing Lifeng New Materials Co., Ltd.	Tantalum	Conformant	China
Jiangxi Dinghai Tantalum & Niobium Co., Ltd.	Tantalum	Conformant	China
Jiangxi Tuohong New Raw Material	Tantalum	Conformant	China
JiuJiang Janny New Material Co., Ltd.	Tantalum	Conformant	China
JiuJiang JinXin Nonferrous Metals Co., Ltd.	Tantalum	Conformant	China
Jiujiang Tanbre Co., Ltd.	Tantalum	Conformant	China
Jiujiang Zhongao Tantalum & Niobium Co., Ltd.	Tantalum	Conformant	China
KEMET Blue Metals	Tantalum	Conformant	Mexico
Kemet Blue Powder	Tantalum	Conformant	United States
LSM Brasil S.A.	Tantalum	Conformant	Brazil
Metallurgical Products India Pvt., Ltd.	Tantalum	Conformant	India
Mineracao Taboca S.A.	Tantalum	Conformant	Brazil
Mitsui Mining and Smelting Co., Ltd.	Tantalum	Conformant	Japan
Ningxia Orient Tantalum Industry Co., Ltd.	Tantalum	Conformant	China
NPM Silmet AS	Tantalum	Conformant	Estonia
Power Resources Ltd.	Tantalum	Conformant	Macedonia
QuantumClean	Tantalum	Conformant	United States
Resind Industria e Comercio Ltda.	Tantalum	Conformant	Brazil
RFH Tantalum Smeltery Co., Ltd./Yanling Jincheng Tantalum & Niobium Co., Ltd.	Tantalum	Conformant	China Russian Federation
Solikamsk Magnesium Works OAO	Tantalum	Conformant	
Taki Chemical Co., Ltd.	Tantalum	Conformant	Japan
Telex Metals	Tantalum	Conformant	United States

Smelter or Refiner Name	Mineral	Smelter or Refiner Status	Smelter or Refiner Location
Ulba Metallurgical Plant JSC	Tantalum	Conformant	Kazakhstan
XinXing Haorong Electronic Material Co., Ltd.	Tantalum	Conformant	China
Alpha	Tin	Conformant	United States
Chenzhou Yunxiang Mining and Metallurgy Co., Ltd.	Tin	Conformant	China
Chifeng Dajingzi Tin Industry Co., Ltd.	Tin	Conformant	China
China Tin Group Co., Ltd.	Tin	Conformant	China
CNMC (Guangxi) PGMA Co., Ltd.	Tin	Conformant	China
CV Ayi Jaya	Tin	Conformant	Indonesia
CV Dua Sekawan	Tin	Conformant	Indonesia
CV Gita Pesona	Tin	Conformant	Indonesia
CV United Smelting	Tin	Conformant	Indonesia
CV Venus Inti Perkasa	Tin	Conformant	Indonesia
Dowa	Tin	Conformant	Japan
EM Vinto	Tin	Conformant	Bolivia
Fenix Metals	Tin	Conformant	Poland
Gejiu Fengming Metallurgy Chemical Plant	Tin	Conformant	China
Gejiu Jinye Mineral Company	Tin	Conformant	China
Gejiu Kai Meng Industry and Trade LLC	Tin	Conformant	China
Gejiu Non-Ferrous Metal Processing Co., Ltd.	Tin	Conformant	China
Gejiu Yunxin Nonferrous Electrolysis Co., Ltd.	Tin	Conformant	China
Guangdong Hanhe Non-Ferrous Metal Co., Ltd.	Tin	Conformant	China
Guanyang Guida Nonferrous Metal Smelting Plant	Tin	Conformant	China
HuiChang Hill Tin Industry Co., Ltd.	Tin	Conformant	China
Huichang Jinshunda Tin Co., Ltd.	Tin	Conformant	China
Jiangxi Ketai Advanced Material Co., Ltd.	Tin	Conformant	China
Jiangxi New Nanshan Technology Ltd.	Tin	Conformant	China
Magnu's Minerai's Metais e Ligas Ltda.	Tin	Conformant	Brazil
Malaysia Smelting Corporation (MSC)	Tin	Conformant	Malaysia
Melt Metais e Ligas S.A.	Tin	Conformant	Brazil
Metallic Resources, Inc.	Tin	Conformant	United States
Metallo Belgium N.V.	Tin	Conformant	Belgium
Metallo Spain S.L.U.	Tin	Conformant	Spain
Mineracao Taboca S.A.	Tin	Conformant	Brazil
Minsur	Tin	Conformant	Peru
Mitsubishi Materials Corporation	Tin	Conformant	Japan
Modeltech Sdn Bhd	Tin	Active	Malaysia
O.M. Manufacturing (Thailand) Co., Ltd.	Tin	Conformant	Thailand
O.M. Manufacturing Philippines, Inc.	Tin	Conformant	Philippines
Operaciones Metalurgical S.A.	Tin	Conformant	Bolivia

Smelter or Refiner Name	Mineral	Smelter or Refiner Status	Smelter or Refiner Location
PT Aries Kencana Sejahtera	Tin	Conformant	Indonesia
PT Artha Cipta Langgeng	Tin	Conformant	Indonesia
PT ATD Makmur Mandiri Jaya	Tin	Conformant	Indonesia
PT Babel Inti Perkasa	Tin	Conformant	Indonesia
PT Babel Surya Alam Lestari	Tin	Active	Indonesia
PT Bangka Prima Tin	Tin	Conformant	Indonesia
PT Bangka Serumpun	Tin	Conformant	Indonesia
PT Bangka Tin Industry	Tin	Conformant	Indonesia
PT Belitung Industri Sejahtera	Tin	Conformant	Indonesia
PT Bukit Timah	Tin	Conformant	Indonesia
PT DS Jaya Abadi	Tin	Conformant	Indonesia
PT Eunindo Usaha Mandiri	Tin	Conformant	Indonesia
PT Inti Stania Prima	Tin	Conformant	Indonesia
PT Karimun Mining	Tin	Conformant	Indonesia
PT Kijang Jaya Mandiri	Tin	Conformant	Indonesia
PT Lautan Harmonis Sejahtera	Tin	Conformant	Indonesia
PT Menara Cipta Mulia	Tin	Conformant	Indonesia
PT Mitra Stania Prima	Tin	Conformant	Indonesia
PT Panca Mega Persada	Tin	Conformant	Indonesia
PT Premium Tin Indonesia	Tin	Conformant	Indonesia
PT Prima Timah Utama	Tin	Conformant	Indonesia
PT Rajehan Ariq	Tin	Conformant	Indonesia
PT Refined Bangka Tin	Tin	Conformant	Indonesia
PT Sariwiguna Binasentosa	Tin	Conformant	Indonesia
PT Stanindo Inti Perkasa	Tin	Conformant	Indonesia
PT Sukses Inti Makmur	Tin	Conformant	Indonesia
PT Sumber Jaya Indah	Tin	Conformant	Indonesia
PT Timah (Persero) Tbk Kundur	Tin	Conformant	Indonesia
PT Timah (Persero) Tbk Mentok	Tin	Conformant	Indonesia
PT Tinindo Inter Nusa	Tin	Conformant	Indonesia
PT Tommy Utama	Tin	Conformant	Indonesia
Resind Industria e Comercio Ltda.	Tin	Conformant	Brazil
Rui Da Hung	Tin	Conformant	Taiwan
Soft Metais Ltda.	Tin	Conformant	Brazil
Thaisarco	Tin	Conformant	Thailand
White Solder Metalurgia e Mineracao Ltda.	Tin	Conformant	Brazil
Yunnan Chengfeng Non-ferrous Metals Co., Ltd.	Tin	Conformant	China
Yunnan Tin Company Limited	Tin	Conformant	China
A.L.M.T. TUNGSTEN Corp.	Tungsten	Conformant	Japan
ACL Metais Eireli	Tungsten	Conformant	Brazil
Asia Tungsten Products Vietnam Ltd.	Tungsten	Conformant	Viet Nam

Smelter or Refiner Name	Mineral	Smelter or Refiner Status	Smelter or Refiner Location
Chenzhou Diamond Tungsten Products Co., Ltd.	Tungsten	Conformant	China
Chongyi Zhangyuan Tungsten Co., Ltd.	Tungsten	Conformant	China
Fujian Jinxin Tungsten Co., Ltd.	Tungsten	Conformant	China
Ganzhou Haichuang Tungsten Industry Co., Ltd.	Tungsten	Active	China
Ganzhou Huaxing Tungsten Products Co., Ltd.	Tungsten	Conformant	China
Ganzhou Jiangwu Ferrotungsten Co., Ltd.	Tungsten	Conformant	China
Ganzhou Seadragon W & Mo Co., Ltd.	Tungsten	Conformant	China
Global Tungsten & Powders Corp.	Tungsten	Conformant	United States
Guangdong Xianglu Tungsten Co., Ltd.	Tungsten	Conformant	China
H.C. Starck Smelting GmbH & Co. KG	Tungsten	Conformant	Germany
H.C. Starck Tungsten GmbH	Tungsten	Conformant	Germany
Hunan Chenzhou Mining Co., Ltd.	Tungsten	Conformant	China
Hunan Chuangda Vanadium Tungsten Co., Ltd. Wuji	Tungsten	Conformant	China
Hunan Chunchang Nonferrous Metals Co., Ltd.	Tungsten	Conformant	China
Hydrometallurg, JSC	Tungsten	Conformant	Russian Federation
Japan New Metals Co., Ltd.	Tungsten	Conformant	Japan
Jiangwu H.C. Starck Tungsten Products Co., Ltd.	Tungsten	Conformant	China
Jiangxi Gan Bei Tungsten Co., Ltd.	Tungsten	Conformant	China
Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd.	Tungsten	Conformant	China
Jiangxi Xinsheng Tungsten Industry Co., Ltd.	Tungsten	Conformant	China
Jiangxi Yaosheng Tungsten Co., Ltd.	Tungsten	Conformant	China
Kennametal Fallon	Tungsten	Conformant	United States
Kennametal Huntsville	Tungsten	Conformant	United States
Malipo Haiyu Tungsten Co., Ltd.	Tungsten	Conformant	China
Moliren Ltd.	Tungsten	Conformant	Russian Federation
Niagara Refining LLC	Tungsten	Conformant	United States
Nui Phao H.C. Starck Tungsten Chemicals Manufacturing LLC	Tungsten	Conformant	Viet Nam
Philippine Chuangxin Industrial Co., Inc.	Tungsten	Conformant	Philippines
South-East Nonferrous Metal Company Limited of Hengyang City	Tungsten	Conformant	China
Tejing (Vietnam) Tungsten Co., Ltd.	Tungsten	Conformant	Viet Nam
Unecha Refractory Metals Plant	Tungsten	Conformant	Russian Federation
Vietnam Youngsun Tungsten Industry Co., Ltd.	Tungsten	Conformant	Viet Nam
Wolfram Bergbau und Hutten AG	Tungsten	Conformant	Austria

Smelter or Refiner Name	Mineral	Smelter or Refiner Status	Smelter or Refiner Location
Woltech Korea Co., Ltd.	Tungsten	Conformant	Republic of Korea
Xiamen Tungsten (H.C.) Co., Ltd.	Tungsten	Conformant	China
Xiamen Tungsten Co., Ltd.	Tungsten	Conformant	China
Xinfeng Huarui Tungsten & Molybdenum New Material Co., Ltd.	Tungsten	Conformant	China
Xinhai Rendan Shaoguan Tungsten Co., Ltd.	Tungsten	Conformant	China

The following notes apply to Annex I above:

- (1) “Conformant” means that a smelter or refiner was conformant with the Responsible Minerals Assurance Process (“RMAP”) assessment protocols. Smelters and refiners with a “re-audit in progress” are still considered to be RMAP conformant
- (2) “Active” means that the smelter or refiner is a participant in the RMAP and has committed to undergo an audit or is participating in a cross-recognized certification program.
- (3) The designations of Conformant and Active and the smelter or refiner location reflected in the table are based solely on information made publicly available by the RMI, without independent verification by us.

ANNEX II

List of Verified Facilities Not Otherwise Listed as Conformant or Active

Smelter or Refiner Name	Mineral	Smelter or Refiner Location
Abington Reldan Metals, LLC	Gold	United States
Atasay Kuyumculuk Sanayi Ve Ticaret A.S.	Gold	Turkey
Caridad	Gold	Mexico
Chugai Mining	Gold	Japan
Daye Non-Ferrous Metals Mining Ltd.	Gold	China
Degussa Sonne / Mond Goldhandel GmbH	Gold	Germany
GCC Gurjat Gold Centre Pvt. Ltd.	Gold	India
Great Wall Precious Metals Co., Ltd. of CBPM	Gold	China
Guangdong Jinding Gold Limited	Gold	China
Guoda Safina High-Tech Environmental Refinery Co., Ltd.	Gold	China
Hangzhou Fuchunjiang Smelting Co., Ltd.	Gold	China
Hunan Chenzhou Mining Co., Ltd.	Gold	China
HwaSeong CJ CO., LTD.	Gold	Republic of Korea
Kazakhmys Smelting LLC	Gold	Kazakhstan
Kyshtym Copper-Electrolytic Plant ZAO	Gold	Russian Federation
L'azurde Company For Jewelry	Gold	Saudi Arabia
Lingbao Gold Co., Ltd.	Gold	China
Lingbao Jinyuan Tonghui Refinery Co., Ltd.	Gold	China
Luoyang Zijin Yinhui Gold Refinery Co., Ltd.	Gold	China
Morris and Watson	Gold	New Zealand
Morris and Watson Gold Coast	Gold	Australia
Navoi Mining and Metallurgical Combinat	Gold	Uzbekistan
Pease & Curren	Gold	United States
Penglai Penggang Gold Industry Co., Ltd.	Gold	China
Refinery of Seemine Gold Co., Ltd.	Gold	China
Sabin Metal Corp.	Gold	United States
Sai Refinery	Gold	India
SAMWON Metals Corp.	Gold	Republic of Korea
Shandong Tiancheng Biological Gold Industrial Co., Ltd.	Gold	China
State Research Institute Center for Physical Sciences and Technology	Gold	Lithuania
Tongling Nonferrous Metals Group Co., Ltd.	Gold	China
Tony Goetz NV	Gold	Belgium
TOO Tau-Ken-Altyn	Gold	Kazakhstan
Universal Precious Metals Refining Zambia	Gold	Zambia
Yunnan Copper Industry Co., Ltd.	Gold	China
Duoluoshan	Tantalum	China

Smelter or Refiner Name	Mineral	Smelter or Refiner Location
An Vinh Joint Stock Mineral Processing Company	Tin	Viet Nam
CNMC (Guangxi) PGMA Co., Ltd.	Tin	China
Electro-Mechanical Facility of the Cao Bang Minerals & Metallurgy Joint Stock Company	Tin	Viet Nam
Estanho de Rondonia S.A.	Tin	Brazil
Gejiu Zili Mining And Metallurgy Co., Ltd.	Tin	China
Nghe Tinh Non-Ferrous Metals Joint Stock Company	Tin	Viet Nam
Pongpipat Company Limited	Tin	Myanmar
Super Ligas	Tin	Brazil
Tuyen Quang Non-Ferrous Metals Joint Stock Company	Tin	Viet Nam
Ganzhou Yatai Tungsten Co., Ltd.	Tungsten	China
Hunan Litian Tungsten Industry Co., Ltd.	Tungsten	China
Jiangxi Dayu Longxintai Tungsten Co., Ltd.	Tungsten	China
Jiangxi Minmetals Gao'an Non-ferrous Metals Co., Ltd.	Tungsten	China
Jiangxi Xiushui Xianggan Nonferrous Metals Co., Ltd.	Tungsten	China