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TALON INTERNATIONAL INC	1083
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Zoetis Inc	1242
ZOGENIX INC	1243
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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

3D SYSTEMS CORP

Basic Information

CIK	910638	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

3M CO

CIK	66740	Filing Date	27.05.2016	Link	URL SD	URL CMR
Primary SIC	3841	SIC Division	Manufacturing			
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS			

SEC compliance indicators Score: 14/14 (100%) **OECD conformance indicators** Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		1. Policy?	
2. Signed?		2. Organizational structure?	
3. URL?		3. Digital information-sharing systems?	
4. Conclusionsal statement?		4. Contracts?	
5. Followed definitions?		5. Grievance mechanism?	
6. RCOI separate?		6. Identified SOR(s) or upstream gaps?	
7. DD described?		7. Engaged with SOR(s) to obtain information?	
8. DD framework named?		8. Assessed SOR DD?	
9. DD 5 steps?		9. Spot checks and/or audits of SOR(s)?	
10. Steps to improve DD?		10. Briefed senior management?	
11. Products described?		11. Implemented risk management plan?	
12. SOR facility(ies) listed?		12. Exercised leverage over upstream suppliers?	
13. Country/ies of Origin disclosed?		13. Monitored SOR improvement?	
14. Efforts to determine mine?		14. Supported SOR DD audits?	
15. If "DRC conflict free" explicit, IPSA?		15. Annually reported on DD?	
		16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

A10 Networks Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AAON INC

Basic Information

CIK	824142	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3585	SIC Division	Manufacturing		
Division Code	D	Industry	AIR-COND & WARM AIR HEATG EQUIP & COMM & INDL REFRIG EQUIP		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes

AAR CORP

Division Code	D	Industry	AIRCRAFT & PARTS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AARON S INC

Basic Information

CIK	706688	Filing Date	02.05.2016	Link	URL SD
Primary SIC	7359	SIC Division	Services		
Division Code	I	Industry	SERVICES-EQUIPMENT RENTAL & LEASING, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4 / 8 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ABAXIS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ABB LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ABBOTT LABORATORIES

Basic Information

CIK	1800	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2834	SIC Division	Manufacturing		
Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AbbVie Inc

Basic Information

CIK	1551152	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2834	SIC Division	Manufacturing		
Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ABERCROMBIE FITCH CO DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ABIOMED INC

Basic Information

CIK	815094	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ACCO BRANDS Corp

Basic Information

CIK	712034	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2780	SIC Division	Manufacturing		
Division Code	D	Industry	BLANKBOOKS, LOOSELEAF BINDERS & BOOKBINDG & RELATD WORK		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ACCURAY INC

Basic Information

CIK	1138723	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ACCURIDE CORP

Basic Information

CIK	817979	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Acelity L P Inc

Basic Information

CIK	1557939	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Actions Semiconductor Co Ltd

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ACTIVE POWER INC

Basic Information

CIK	1044435	Filing Date	26.05.2016	Link	URL SD
Primary SIC	4911	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	ELECTRIC SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes

Activision Blizzard Inc

CIK 718877

Filing Date	31.05.2016

Link	<u>URL SD</u>	<u>URL CMR</u>

Primary SIC 7372

SIC Division Services

Division Code

Industry SERVICES-PREPACKAGED SOFTWARE

SEC compliance indicators

Score: 13/14 (93%)

OECD conformance indicators

Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPISA?

● No ● NA ● Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ACTUANT CORP

Basic Information

CIK	6955	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3590	SIC Division	Manufacturing		
Division Code	D	Industry	MISC INDUSTRIAL & COMMERCIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

ACUITY BRANDS INC

Division Code	D	Industry	ELECTRIC LIGHTING & WIRING EQUIPMENT

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?	
2. Signed?	
3. URL?	
4. Conclusionsal statement?	
5. Followed definitions?	
6. RCOI separate?	
7. DD described?	
8. DD framework named?	
9. DD 5 steps?	
10. Steps to improve DD?	
11. Products described?	
12. SOR facility(ies) listed?	
13. Country/ies of Origin disclosed?	
14. Efforts to determine mine?	
15. If "DRC conflict free" explicit, IPSA?	
No NA Yes	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ADOBE SYSTEMS INC

Basic Information

CIK	796343	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ADTRAN INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Advanced Emissions Solutions Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ADVANCED ENERGY INDUSTRIES INC

Basic Information

CIK	927003	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3679	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPONENTS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ADVANCED MICRO DEVICES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



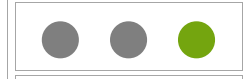
11. Products described?



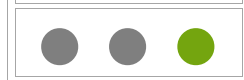
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ADVANCED SEMICONDUCTOR ENGINEERING INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/16 (88%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☐ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Aegion Corp

Basic Information

CIK	353020	Filing Date	31.05.2016	Link	URL SD
Primary SIC	1623	SIC Division	Construction		
Division Code	C	Industry	WATER, SEWER, PIPELINE, COMM & POWER LINE CONSTRUCTION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusions statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AEP INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5 / 8 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AeroGrow International Inc

Basic Information

CIK	1316644	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5200	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-BUILDING MATERIALS, HARDWARE, GARDEN SUPPLY		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AEROHIVE NETWORKS INC

Basic Information

CIK	1372414	Filing Date	31.05.2016	Link	URL SD
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AEROJET ROCKETDYNE HOLDINGS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AEROPOSTALE INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AeroVironment Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AGCO CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AGILENT TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



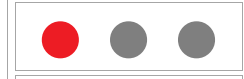
11. Products described?



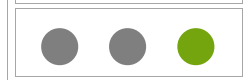
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AIR INDUSTRIES GROUP

Basic Information

CIK	1009891	Filing Date	02.06.2016	Link	URL SD URL CMR
Primary SIC	3728	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT PARTS & AUXILIARY EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AIR METHODS CORP

Basic Information

CIK	816159	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	4522	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	AIR TRANSPORTATION, NONSCHEDULED		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AIR PRODUCTS CHEMICALS INC DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AIR T INC

Basic Information

CIK	353184	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	4513	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	AIR COURIER SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AIRGAS INC

Basic Information

CIK	804212	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5084	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-INDUSTRIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AIXTRON SE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AK STEEL HOLDING CORP

Basic Information

CIK	918160	Filing Date	27.05.2016	Link	URL SD
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALAMO GROUP INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALBANY INTERNATIONAL CORP DE

Basic Information

CIK	819793	Filing Date	27.05.2016	Link	URL SD
Primary SIC	2221	SIC Division	Manufacturing		
Division Code	D	Industry	BROADWOVEN FABRIC MILLS, MAN MADE FIBER & SILK		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALBEMARLE CORP

Basic Information

CIK	915913	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2821	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIALS, SYNTH RESINS & NONVULCAN ELASTOMERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALCATEL LUCENT

Basic Information

CIK	886125	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3661	SIC Division	Manufacturing		
Division Code	D	Industry	TELEPHONE & TELEGRAPH APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALCOA INC

Basic Information

CIK	4281	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3350	SIC Division	Manufacturing		
Division Code	D	Industry	ROLLING DRAWING & EXTRUDING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALERE INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Aleris Corp

Basic Information

CIK	1518587	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3341	SIC Division	Manufacturing		
Division Code	D	Industry	SECONDARY SMELTING & REFINING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7 / 7 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4 / 8 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Alexza Pharmaceuticals Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALIGN TECHNOLOGY INC

Basic Information

CIK	1097149	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALLEGHENY TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3 / 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Allegion plc

Basic Information

CIK	1579241	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7381	SIC Division	Services		
Division Code	I	Industry	SERVICES-DETECTIVE, GUARD & ARMORED CAR SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALLIANCE DATA SYSTEMS CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3 / 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Alliance Holdings GP L P

Basic Information

CIK	1344980	Filing Date	22.04.2016	Link	URL SD URL CMR
Primary SIC	1221	SIC Division	Mining		
Division Code	B	Industry	BITUMINOUS COAL & LIGNITE SURFACE MINING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALLIANCE RESOURCE PARTNERS LP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALLIED HEALTHCARE PRODUCTS INC

Basic Information

CIK

Filing Date

Link [URL SD](#) [URL CMR](#)

Primary SIC

SIC Division

Division Code

Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALLIED MOTION TECHNOLOGIES INC

Basic Information

CIK	46129	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Allison Transmission Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



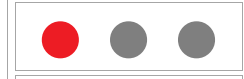
11. Products described?



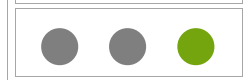
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Allot Communications Ltd

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALPHA OMEGA SEMICONDUCTOR Ltd

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5 / 8 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Alphabet Inc

Basic Information

CIK	1652044	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7370	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROGRAMMING, DATA PROCESSING, ETC.		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Altra Industrial Motion Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle No Yellow circle NA Green circle Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ALTRIA GROUP INC

Basic Information

CIK	764180	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	2111	SIC Division	Manufacturing		
Division Code	D	Industry	CIGARETTES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMAZON COM INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMBARELLA INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Amec Foster Wheeler plc

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4 / 8 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Ameresco Inc

Basic Information

CIK	1488139	Filing Date	27.05.2016	Link	URL SD
Primary SIC	1700	SIC Division	Construction		
Division Code	C	Industry	CONSTRUCTION - SPECIAL TRADE CONTRACTORS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMERICAN AXLE MANUFACTURING HOLDINGS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMERICAN EAGLE OUTFITTERS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMERICAN GREETINGS CORP

Basic Information

CIK	5133	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2771	SIC Division	Manufacturing		
Division Code	D	Industry	GREETING CARDS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

- On time?
- Signed?
- URL?
- Conclusional statement?
- Followed definitions?
- RCOI separate?
- DD described?
- DD framework named?
- DD 5 steps?
- Steps to improve DD?
- Products described?
- SOR facility(ies) listed?
- Country/ies of Origin disclosed?
- Efforts to determine mine?
- If "DRC conflict free" explicit, IPSA?

No NA Yes

- Policy?
- Organizational structure?
- Digital information-sharing systems?
- Contracts?
- Grievance mechanism?
- Identified SOR(s) or upstream gaps?
- Engaged with SOR(s) to obtain information?
- Assessed SOR DD?
- Spot checks and/or audits of SOR(s)?
- Briefed senior management?
- Implemented risk management plan?
- Exercised leverage over upstream suppliers?
- Monitored SOR improvement?
- Supported SOR DD audits?
- Annually reported on DD?
- Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

American Railcar Industries Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



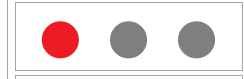
11. Products described?



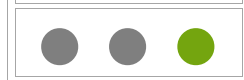
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMERICAN SCIENCE ENGINEERING INC

Basic Information

CIK	5768	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3844	SIC Division	Manufacturing		
Division Code	D	Industry	X-RAY APPARATUS & TUBES & RELATED IRRADIATION APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMERICAN SUPERCONDUCTOR CORP DE

Basic Information

CIK	880807	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3621	SIC Division	Manufacturing		
Division Code	D	Industry	MOTORS & GENERATORS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMERISOURCEBERGEN CORP

Basic Information

CIK	1140859	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5122	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-DRUGS, PROPRIETARIES & DRUGGISTS' SUNDRIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMERITYRE CORP

Basic Information

CIK	945828	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3011	SIC Division	Manufacturing		
Division Code	D	Industry	TIRES & INNER TUBES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMETEK INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMGEN INC

Basic Information

CIK	318154	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2836	SIC Division	Manufacturing		
Division Code	D	Industry	BIOLOGICAL PRODUCTS, (NO DISGNOSTIC SUBSTANCES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMKOR TECHNOLOGY INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMPCO PITTSBURGH CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3 / 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMPHENOL CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AMTECH SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ANALOG DEVICES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ANALOGIC CORP

Basic Information

CIK	6284	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ANGLOGOLD ASHANTI LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Anheuser Busch InBev S A

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 4/14 (29%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ANIXTER INTERNATIONAL INC

Basic Information

CIK	52795	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5063	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-ELECTRICAL APPARATUS & EQUIPMENT, WIRING SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

APOGEE ENTERPRISES INC

Basic Information

CIK	6845	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3231	SIC Division	Manufacturing		
Division Code	D	Industry	GLASS PRODUCTS, MADE OF PURCHASED GLASS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

APPLE INC

Basic Information

CIK	320193	Filing Date	30.03.2016	Link	URL SD URL CMR
Primary SIC	3571	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPUTERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

APPLIED INDUSTRIAL TECHNOLOGIES INC

Basic Information

CIK	109563	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5080	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No	NA	Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

APPLIED MATERIALS INC DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



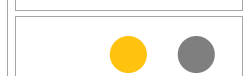
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

APPLIED MICRO CIRCUITS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

APPLIED OPTOELECTRONICS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

APTARGROUP INC

Basic Information

CIK	896622	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3089	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTICS PRODUCTS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Aramark

Basic Information

CIK	1584509	Filing Date	31.05.2016	Link	URL SD
Primary SIC	5812	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-EATING PLACES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ArcelorMittal

Basic Information

CIK	1243429	Filing Date	24.05.2016	Link	URL SD
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Archrock Inc

Basic Information

CIK	1389050	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	7359	SIC Division	Services		
Division Code	I	Industry	SERVICES-EQUIPMENT RENTAL & LEASING, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Arcos Dorados Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ARCTIC CAT INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ARM HOLDINGS PLC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ARMSTRONG WORLD INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AROTECH CORP

Basic Information

CIK	916529	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ARRHYTHMIA RESEARCH TECHNOLOGY INC DE

Basic Information

CIK	819689	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 3/ 9 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ARRIS International plc

Basic Information

CIK	1645494	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ARROW ELECTRONICS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/16 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ARTS WAY MANUFACTURING CO INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Ascena Retail Group Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ASHLAND INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ASIA PACIFIC WIRE CABLE CORP LTD

Basic Information

CIK	1026980	Filing Date	23.05.2016	Link	URL SD
Primary SIC	3357	SIC Division	Manufacturing		
Division Code	D	Industry	DRAWING & INSULATING OF NONFERROUS WIRE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ASML HOLDING NV

Basic Information

CIK	937966	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3559	SIC Division	Manufacturing		
Division Code	D	Industry	SPECIAL INDUSTRY MACHINERY, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ASTEC INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ASTRONICS CORP

Basic Information

CIK	8063	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3728	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT PARTS & AUXILIARY EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AstroNova Inc

Basic Information

CIK	8146	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3577	SIC Division	Manufacturing		
Division Code	D	Industry	COMPUTER PERIPHERAL EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AtriCure Inc

Basic Information

CIK	1323885	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ATRION CORP

Basic Information

CIK	701288	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AU OPTRONICS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AUDIOCODES LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AUTODESK INC

Basic Information

CIK	769397	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AUTOLIV INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AVAYA INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Avery Dennison Corp

Basic Information

CIK	8818	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2670	SIC Division	Manufacturing		
Division Code	D	Industry	CONVERTED PAPER & PAPERBOARD PRODS (NO CONTANERS/BOXES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AVIAT NETWORKS INC

Basic Information

CIK	1377789	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AVNET INC

Basic Information

CIK	8858	Filing Date	29.04.2016	Link	URL SD URL CMR
Primary SIC	5065	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-ELECTRONIC PARTS & EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AVON PRODUCTS INC

Basic Information

CIK	8868	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2844	SIC Division	Manufacturing		
Division Code	D	Industry	PERFUMES, COSMETICS & OTHER TOILET PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AVX Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

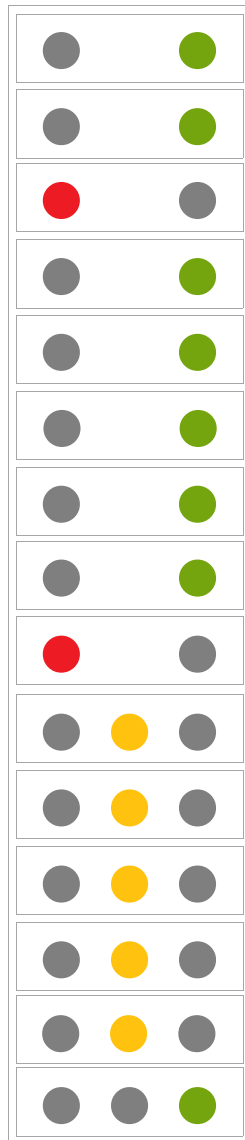
SEC compliance indicators Score: 7/ 9 (78%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/16 (50%)

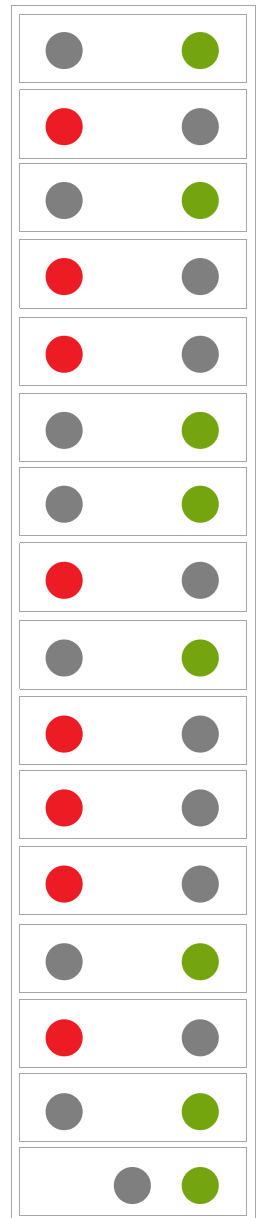
For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AXCELIS TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AXIALL CORP DE

Basic Information

CIK	805264	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2821	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIALS, SYNTH RESINS & NONVULCAN ELASTOMERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

AZZ INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

B E AEROSPACE INC

Basic Information

CIK	861361	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2531	SIC Division	Manufacturing		
Division Code	D	Industry	PUBLIC BLDG & RELATED FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BADGER METER INC

Basic Information

CIK	9092	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3824	SIC Division	Manufacturing		
Division Code	D	Industry	TOTALIZING FLUID METERS & COUNTING DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

BAKER HUGHES INC

Division Code D **Industry** OIL & GAS FIELD MACHINERY & EQUIPMENT

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BALL CORP

Basic Information

CIK	9389	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	3411	SIC Division	Manufacturing		
Division Code	D	Industry	METAL CANS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BALLANTYNE STRONG INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Ballard Power Systems Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BARD C R INC NJ

Basic Information

CIK	9892	Filing Date	19.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BARNES GROUP INC

Basic Information

CIK	9984	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3490	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS FABRICATED METAL PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BARNES NOBLE INC

Basic Information

CIK	890491	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5940	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-MISCELLANEOUS SHOPPING GOODS STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BARRACUDA NETWORKS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BASSETT FURNITURE INDUSTRIES INC

Basic Information

CIK	10329	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2511	SIC Division	Manufacturing		
Division Code	D	Industry	WOOD HOUSEHOLD FURNITURE, (NO UPHOLSTERED)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 7 (86%)

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Baxalta Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



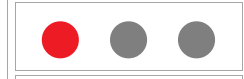
11. Products described?



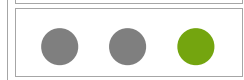
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BAXTER INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

bebe stores inc

Basic Information

CIK	1059272	Filing Date	02.06.2016	Link	URL SD URL CMR
Primary SIC	2330	SIC Division	Manufacturing		
Division Code	D	Industry	WOMEN'S, MISSES', AND JUNIORS OUTERWEAR		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BECTON DICKINSON CO

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BED BATH BEYOND INC

Basic Information

CIK	886158	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	5700	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-HOME FURNITURE, FURNISHINGS & EQUIPMENT STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BEL FUSE INC NJ

Basic Information

CIK	729580	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3677	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COILS, TRANSFORMERS & OTHER INDUCTORS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BELDEN INC

Basic Information

CIK	913142	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3357	SIC Division	Manufacturing		
Division Code	D	Industry	DRAWING & INSULATING OF NONFERROUS WIRE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

Basic Information

Division Code D **Industry** PRINTED CIRCUIT BOARDS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BERKSHIRE HATHAWAY INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BEST BUY CO INC

Basic Information

CIK	764478	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5731	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-RADIO, TV & CONSUMER ELECTRONICS STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BIG 5 SPORTING GOODS CORP

Basic Information

CIK	1156388	Filing Date	27.05.2016	Link	URL SD
Primary SIC	5940	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-MISCELLANEOUS SHOPPING GOODS STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BIO RAD LABORATORIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



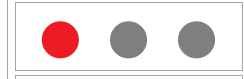
11. Products described?



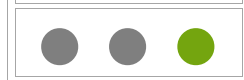
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BIOLASE INC

Basic Information

CIK	811240	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3843	SIC Division	Manufacturing		
Division Code	D	Industry	DENTAL EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BioTelemetry Inc

Basic Information

CIK	1574774	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BIRKS GROUP INC

Basic Information

CIK	1179821	Filing Date	25.05.2016	Link	URL SD
Primary SIC	5944	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-JEWELRY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/ 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BLACK BOX CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☐ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Black Diamond Inc

Basic Information

CIK	913277	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3949	SIC Division	Manufacturing		
Division Code	D	Industry	SPORTING & ATHLETIC GOODS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

BLACKBERRY Ltd

Division Code	D	Industry	TELEPHONE & TELEGRAPH APPARATUS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☒	☐	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☒	☐	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☒	☐	☐
10. Steps to improve DD?	☒	☐	☐
11. Products described?	☒	☐	☐
12. SOR facility(ies) listed?	☒	☐	☐
13. Country/ies of Origin disclosed?	☒	☐	☐
14. Efforts to determine mine?	☒	☐	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☐	☒

Question	Yes	No	NA
1. Policy?	☒	☐	☐
2. Organizational structure?	☒	☐	☐
3. Digital information-sharing systems?	☒	☐	☐
4. Contracts?	☒	☐	☐
5. Grievance mechanism?	☒	☐	☐
6. Identified SOR(s) or upstream gaps?	☒	☐	☐
7. Engaged with SOR(s) to obtain information?	☒	☐	☐
8. Assessed SOR DD?	☒	☐	☐
9. Spot checks and/or audits of SOR(s)?	☒	☐	☐
10. Briefed senior management?	☐	☒	☐
11. Implemented risk management plan?	☒	☐	☐
12. Exercised leverage over upstream suppliers?	☒	☐	☐
13. Monitored SOR improvement?	☒	☐	☐
14. Supported SOR DD audits?	☒	☐	☐
15. Annually reported on DD?	☒	☐	☐
16. Conducted and published audit report(s) of DD?	☐	☐	☒

☒ No
 ☒ NA
 ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BLONDER TONGUE LABORATORIES INC

Basic Information

CIK	1000683	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BLUCORA INC

Basic Information

CIK	1068875	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	7374	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROCESSING & DATA PREPARATION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Blue Bird Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BLUE NILE INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BMC STOCK HOLDINGS INC

Basic Information

CIK	1574815	Filing Date	31.05.2016	Link	URL SD
Primary SIC	5211	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-LUMBER & OTHER BUILDING MATERIALS DEALERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BOEING CO

Basic Information

CIK	12927	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3721	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BON TON STORES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Booz Allen Hamilton Holding Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BORGWARNER INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BOSTON SCIENTIFIC CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BOVIE MEDICAL CORP

Basic Information

CIK	719135	Filing Date	24.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BRADY CORP

Basic Information

CIK	746598	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3990	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS MANUFACTURING INDUSTRIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

BRIGGS STRATTON CORP

Division Code **D** Industry **ENGINES & TURBINES**

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BRITISH TELECOMMUNICATIONS PLC ADR

Basic Information

CIK	820534	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4813	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	TELEPHONE COMMUNICATIONS (NO RADIOTELEPHONE)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Broadcom Ltd

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



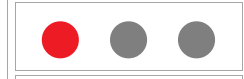
11. Products described?



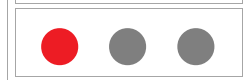
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BROADWIND ENERGY INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BROCADE COMMUNICATIONS SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BROOKS AUTOMATION INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



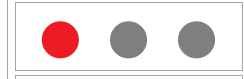
11. Products described?



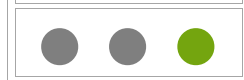
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BRUKER CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BRUNSWICK CORP

Basic Information

CIK	14930	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3510	SIC Division	Manufacturing		
Division Code	D	Industry	ENGINES & TURBINES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BT GROUP PLC

Basic Information

CIK	756620	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4813	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	TELEPHONE COMMUNICATIONS (NO RADIOTELEPHONE)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BUCKLE INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Builders FirstSource Inc

Basic Information

CIK	1316835	Filing Date	27.05.2016	Link	URL SD
Primary SIC	5211	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-LUMBER & OTHER BUILDING MATERIALS DEALERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BUTLER NATIONAL CORP

Basic Information

CIK	15847	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7990	SIC Division	Services		
Division Code	I	Industry	SERVICES-MISCELLANEOUS AMUSEMENT & RECREATION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

BWX Technologies Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

C J Energy Services Ltd

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



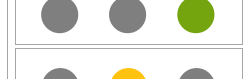
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CABELAS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CABOT CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



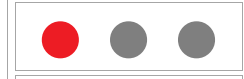
11. Products described?



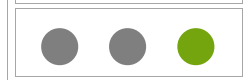
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CACI INTERNATIONAL INC DE

Basic Information

CIK	16058	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CADENCE DESIGN SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CAE INC

Basic Information

CIK	1173382	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CalAmp Corp

Basic Information

CIK	730255	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CALERES INC

Basic Information

CIK	14707	Filing Date	26.05.2016	Link	URL SD
Primary SIC	3140	SIC Division	Manufacturing		
Division Code	D	Industry	FOOTWEAR, (NO RUBBER)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CALGON CARBON Corp

Basic Information

CIK	812701	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2810	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INORGANIC CHEMICALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CALIX INC

Basic Information

CIK	1406666	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4899	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	COMMUNICATIONS SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CALLAWAY GOLF CO

Basic Information

CIK	837465	Filing Date	20.05.2016	Link	URL SD
Primary SIC	3949	SIC Division	Manufacturing		
Division Code	D	Industry	SPORTING & ATHLETIC GOODS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4 / 8 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CAMTEK LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Canadian Solar Inc

Basic Information

CIK	1375877	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes

CANON INC

10



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CANTEL MEDICAL CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CAPSTONE TURBINE Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



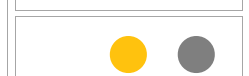
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CARDINAL HEALTH INC

Basic Information

CIK	721371	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5122	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-DRUGS, PROPRIETARIES & DRUGGISTS' SUNDRIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Cardiovascular Systems Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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CARLISLE COMPANIES INC

Division Code	D	Industry	FABRICATED RUBBER PRODUCTS, NEC

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☒	☐	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☒	☐	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☒	☐	☐
10. Steps to improve DD?	☒	☐	☐
11. Products described?	☒	☐	☐
12. SOR facility(ies) listed?	☐	☒	☐
13. Country/ies of Origin disclosed?	☐	☒	☐
14. Efforts to determine mine?	☒	☐	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☒	☐

☒ Yes ☐ No ☐ NA



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CARPENTER TECHNOLOGY CORP

Basic Information

CIK	17843	Filing Date	23.05.2016	Link	URL SD URL CMR
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CARTERS INC

Basic Information

CIK	1060822	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2300	SIC Division	Manufacturing		
Division Code	D	Industry	APPAREL & OTHER FINISHD PRODS OF FABRICS & SIMILAR MATL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CAS MEDICAL SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CASCADE MICROTECH INC

Basic Information

CIK	864559	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CASTLE A M CO

Basic Information

CIK	18172	Filing Date	27.05.2016	Link	URL SD
Primary SIC	5051	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-METALS SERVICE CENTERS & OFFICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CATERPILLAR INC

Basic Information

CIK	18230	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3531	SIC Division	Manufacturing		
Division Code	D	Industry	CONSTRUCTION MACHINERY & EQUIP		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CAVCO INDUSTRIES INC

Basic Information

CIK	278166	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2451	SIC Division	Manufacturing		
Division Code	D	Industry	MOBILE HOMES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CAVIUM INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CDI CORP

Basic Information

CIK	18396	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	7363	SIC Division	Services		
Division Code	I	Industry	SERVICES-HELP SUPPLY SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CECO ENVIRONMENTAL CORP

Basic Information

CIK	3197	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3564	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL & COMMERCIAL FANS & BLOWERS & AIR PURIFYING EQUIP		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Celanese Corp

Basic Information

CIK	1306830	Filing Date	27.05.2016	Link	URL SD
Primary SIC	2820	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIAL, SYNTH RESIN/RUBBER, CELLULOS (NO GLASS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CELESTICA INC

Basic Information

CIK	1030894	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3672	SIC Division	Manufacturing		
Division Code	D	Industry	PRINTED CIRCUIT BOARDS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CENVEO INC

Basic Information

CIK	920321	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2670	SIC Division	Manufacturing		
Division Code	D	Industry	CONVERTED PAPER & PAPERBOARD PRODS (NO CONTANERS/BOXES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CEPHEID

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CERAGON NETWORKS LTD

Basic Information

CIK	1119769	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CERNER CORP MO

Basic Information

CIK	804753	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

CERUS CORP

Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CESCA THERAPEUTICS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPISA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CGG

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☐ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHARLES COLVARD LTD

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHARLES RIVER LABORATORIES INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHART INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

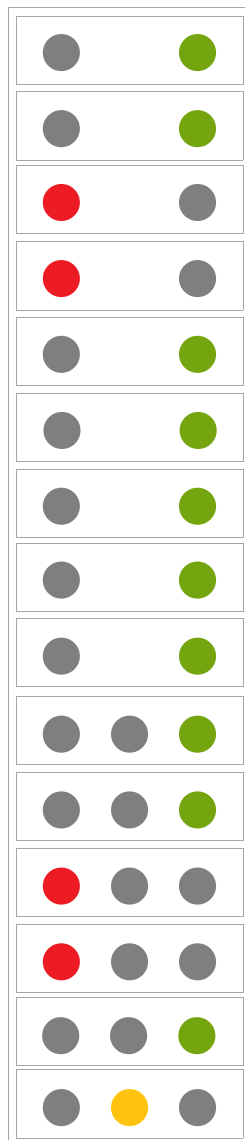
SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

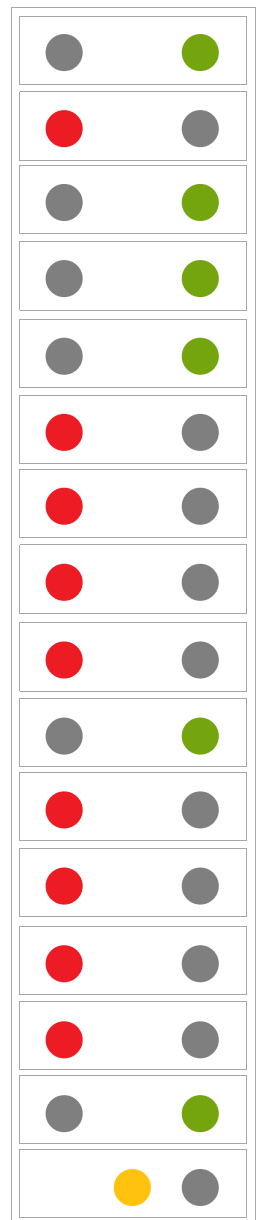
For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHASE CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Chemtura CORP

Basic Information

CIK	1091862	Filing Date	05.05.2016	Link	URL SD
Primary SIC	2820	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIAL, SYNTH RESIN/RUBBER, CELLULOS (NO GLASS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHEVRON CORP

Basic Information

CIK	93410	Filing Date	19.05.2016	Link	URL SD
Primary SIC	2911	SIC Division	Manufacturing		
Division Code	D	Industry	PETROLEUM REFINING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHICAGO BRIDGE IRON CO N V

Basic Information

CIK	1027884	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	1700	SIC Division	Construction		
Division Code	C	Industry	CONSTRUCTION - SPECIAL TRADE CONTRACTORS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHICAGO RIVET MACHINE CO

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes

CHICOS FAS INC

CIK	897429	Filing Date	27.05.2016	Link	URL SD	URL CMR
Primary SIC	5621	SIC Division	Retail Trade			
Division Code	G	Industry	RETAIL-WOMEN'S CLOTHING STORES			

SEC compliance indicators Score: 13/14 (93%) **OECD conformance indicators** Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?			
2. Signed?			
3. URL?			
4. Conclusions statement?			
5. Followed definitions?			
6. RCOI separate?			
7. DD described?			
8. DD framework named?			
9. DD 5 steps?			
10. Steps to improve DD?			
11. Products described?			
12. SOR facility(ies) listed?			
13. Country/ies of Origin disclosed?			
14. Efforts to determine mine?			
15. If "DRC conflict free" explicit, IPSA?			

No
 NA
 Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Childrens Place Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

China Digital TV Holding Co Ltd

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHINA MOBILE LTD ADR

Basic Information

CIK	1117795	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	4813	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	TELEPHONE COMMUNICATIONS (NO RADIOTELEPHONE)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/ 9 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 16/16 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHINA YUCHAI INTERNATIONAL LTD

Basic Information

CIK	932695	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3510	SIC Division	Manufacturing		
Division Code	D	Industry	ENGINES & TURBINES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHIPMOS TECHNOLOGIES BERMUDA LTD

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHRISTOPHER BANKS CORP

Basic Information

CIK	883943	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5621	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-WOMEN'S CLOTHING STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHUNGHWA TELECOM CO LTD

Basic Information

CIK	1132924	Filing Date	10.05.2016	Link	URL SD URL CMR
Primary SIC	4812	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	RADIOTELEPHONE COMMUNICATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CHURCH DWIGHT CO INC DE

Basic Information

CIK	313927	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2840	SIC Division	Manufacturing		
Division Code	D	Industry	SOAP, DETERGENTS, CLEANG PREPARATIONS, PERFUMES, COSMETICS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CIENA CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CINTAS CORP

Basic Information

CIK	723254	Filing Date	13.05.2016	Link	URL SD URL CMR
Primary SIC	2320	SIC Division	Manufacturing		
Division Code	D	Industry	MEN'S & BOYS' FURNISHGS, WORK CLOTHG, & ALLIED GARMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CIRCOR INTERNATIONAL INC

Basic Information

CIK	1091883	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3490	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS FABRICATED METAL PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

Basic Information

Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

- [illegible]



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CISCO SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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CITRIX SYSTEMS INC

CIK	877890	Filing Date	31.05.2016	Link	URL SD	URL CMR
Primary SIC	7372	SIC Division	Services			
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE			

SEC compliance indicators Score: 13/14 (93%) **OECD conformance indicators** Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☐	☒	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☒	☐	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☒	☐	☐
10. Steps to improve DD?	☒	☐	☐
11. Products described?	☒	☐	☐
12. SOR facility(ies) listed?	☒	☐	☐
13. Country/ies of Origin disclosed?	☒	☐	☐
14. Efforts to determine mine?	☒	☐	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☒	☐

☒ No
 ☐ NA
 ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Civeo Corp

Basic Information

CIK	1590584	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7000	SIC Division	Services		
Division Code	I	Industry	HOTELS, ROOMING HOUSES, CAMPS & OTHER LODGING PLACES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CLAIRES STORES INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/ 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CLARCOR INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Clean Energy Fuels Corp

Basic Information

CIK	1368265	Filing Date	06.05.2016	Link	URL SD URL CMR
Primary SIC	4932	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	GAS & OTHER SERVICES COMBINED		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Clearfield Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CLEARONE INC

Basic Information

CIK	840715	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3661	SIC Division	Manufacturing		
Division Code	D	Industry	TELEPHONE & TELEGRAPH APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CLOROX CO DE

Basic Information

CIK	21076	Filing Date	27.05.2016	Link	URL SD
Primary SIC	2842	SIC Division	Manufacturing		
Division Code	D	Industry	SPECIALTY CLEANING, POLISHING AND SANITATION PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/ 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CNH Industrial N V

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COACH INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COGENTIX MEDICAL INC DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COGNEX CORP

Basic Information

CIK	851205	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COHERENT INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COHU INC

Basic Information

CIK	21535	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

Basic Information

Division Code	D	Industry	PUMPS & PUMPING EQUIPMENT

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

- [illegible]



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COLGATE PALMOLIVE CO

Basic Information

CIK	21665	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2844	SIC Division	Manufacturing		
Division Code	D	Industry	PERFUMES, COSMETICS & OTHER TOILET PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COLUMBIA SPORTSWEAR CO

Basic Information

CIK	1050797	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2300	SIC Division	Manufacturing		
Division Code	D	Industry	APPAREL & OTHER FINISHD PRODS OF FABRICS & SIMILAR MATL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COLUMBUS MCKINNON CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COMMERCIAL METALS CO

Basic Information

CIK	22444	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Commercial Vehicle Group Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



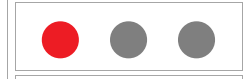
11. Products described?



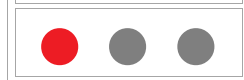
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CommScope Holding Company Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COMMUNICATIONS SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Compass Group Diversified Holdings LLC

Basic Information

CIK	1345122	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2510	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COMPX INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COMTECH TELECOMMUNICATIONS CORP DE

Basic Information

CIK	23197	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CONCURRENT COMPUTER CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



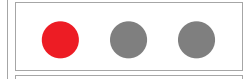
11. Products described?



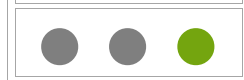
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CONMED CORP

Basic Information

CIK	816956	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Constellium N V

Basic Information

CIK	1563411	Filing Date	27.05.2016	Link	URL SD
Primary SIC	3341	SIC Division	Manufacturing		
Division Code	D	Industry	SECONDARY SMELTING & REFINING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CONTROL4 CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COOPER COMPANIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Cooper Standard Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COOPER TIRE RUBBER CO

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COPsync Inc

Basic Information

CIK	1383154	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3576	SIC Division	Manufacturing		
Division Code	D	Industry	COMPUTER COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CORE LABORATORIES N V

Basic Information

CIK	1000229	Filing Date	31.05.2016	Link	URL SD
Primary SIC	1389	SIC Division	Mining		
Division Code	B	Industry	OIL & GAS FIELD SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CORNING INC NY

Basic Information

CIK	24741	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3357	SIC Division	Manufacturing		
Division Code	D	Industry	DRAWING & INSULATING OF NONFERROUS WIRE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

COSTCO WHOLESALE CORP NEW

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CPI AEROSTRUCTURES INC

Basic Information

CIK	889348	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3728	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT PARTS & AUXILIARY EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CPI International Holding Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CPS TECHNOLOGIES CORP DE

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CRANE CO DE

Basic Information

CIK	25445	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3490	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS FABRICATED METAL PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CRAY INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

CREE INC

Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CRH PUBLIC LTD CO

Basic Information

CIK	849395	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3241	SIC Division	Manufacturing		
Division Code	D	Industry	CEMENT, HYDRAULIC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CROWN HOLDINGS INC

Basic Information

CIK	1219601	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3411	SIC Division	Manufacturing		
Division Code	D	Industry	METAL CANS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CRYOLIFE INC

Basic Information

CIK	784199	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CSI Compressco LP

Basic Information

CIK	1449488	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	1389	SIC Division	Mining		
Division Code	B	Industry	OIL & GAS FIELD SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CSP INC MA

Basic Information

CIK	356037	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CSS INDUSTRIES INC

Basic Information

CIK	20629	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2771	SIC Division	Manufacturing		
Division Code	D	Industry	GREETING CARDS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CTI INDUSTRIES CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 4/ 6 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CTS CORP

Basic Information

CIK	26058	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3672	SIC Division	Manufacturing		
Division Code	D	Industry	PRINTED CIRCUIT BOARDS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CUBIC CORP DE

Basic Information

CIK	26076	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3829	SIC Division	Manufacturing		
Division Code	D	Industry	MEASURING & CONTROLLING DEVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No	NA	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CUI Global Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐
☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CULP INC

Basic Information

CIK	723603	Filing Date	23.05.2016	Link	URL SD
Primary SIC	2211	SIC Division	Manufacturing		
Division Code	D	Industry	BROADWOVEN FABRIC MILLS, COTTON		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes

CUMMINS INC

Division Code	D	Industry	ENGINES & TURBINES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CURTISS WRIGHT CORP

Basic Information

CIK	26324	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3590	SIC Division	Manufacturing		
Division Code	D	Industry	MISC INDUSTRIAL & COMMERCIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CUTERA INC

Basic Information

CIK	1162461	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes

CVD EQUIPMENT CORP

CIK	766792	Filing Date	31.05.2016	Link	URL SD	URL CMR
Primary SIC	3559	SIC Division	Manufacturing			
Division Code	D	Industry	SPECIAL INDUSTRY MACHINERY, NEC			

SEC compliance indicators Score: 10/14 (71%) **OECD conformance indicators** Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		1. Policy?	
2. Signed?		2. Organizational structure?	
3. URL?		3. Digital information-sharing systems?	
4. Conclusionsal statement?		4. Contracts?	
5. Followed definitions?		5. Grievance mechanism?	
6. RCOI separate?		6. Identified SOR(s) or upstream gaps?	
7. DD described?		7. Engaged with SOR(s) to obtain information?	
8. DD framework named?		8. Assessed SOR DD?	
9. DD 5 steps?		9. Spot checks and/or audits of SOR(s)?	
10. Steps to improve DD?		10. Briefed senior management?	
11. Products described?		11. Implemented risk management plan?	
12. SOR facility(ies) listed?		12. Exercised leverage over upstream suppliers?	
13. Country/ies of Origin disclosed?		13. Monitored SOR improvement?	
14. Efforts to determine mine?		14. Supported SOR DD audits?	
15. If "DRC conflict free" explicit, IPSA?		15. Annually reported on DD?	
		16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CYBEROPTICS CORP

Basic Information

CIK	768411	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3827	SIC Division	Manufacturing		
Division Code	D	Industry	OPTICAL INSTRUMENTS & LENSES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CYNOSURE INC

Basic Information

CIK	885306	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CYPRESS SEMICONDUCTOR CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

CYTORI THERAPEUTICS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DAKTRONICS INC SD

Basic Information

CIK	915779	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3990	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS MANUFACTURING INDUSTRIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DANA HOLDING CORP

Basic Information

CIK	26780	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DANAHER CORP DE

Basic Information

CIK	313616	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DATA I O CORP

Basic Information

CIK	351998	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DECKERS OUTDOOR CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DEERE CO

Basic Information

CIK	315189	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	3523	SIC Division	Manufacturing		
Division Code	D	Industry	FARM MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Delphi Automotive PLC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



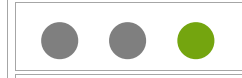
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DELTA APPAREL INC

Basic Information

CIK	1101396	Filing Date	26.05.2016	Link	URL SD
Primary SIC	5130	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-APPAREL, PIECE GOODS & NOTIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DELUXE CORP

Basic Information

CIK	27996	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	2780	SIC Division	Manufacturing		
Division Code	D	Industry	BLANKBOOKS, LOOSELEAF BINDERS & BOOKBINDG & RELATD WORK		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DEMAND MEDIA INC

Basic Information

CIK	1365038	Filing Date	31.05.2016	Link	URL SD
Primary SIC	7374	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROCESSING & DATA PREPARATION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 5 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 0 (#####)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

☐	☒

6. RCOI undertaken described?

☐	☐

7. DD described?

☐	☐	☐

1. Policy?

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2. Organizational structure?

☐	☐

3. Digital information-sharing systems?

☐	☐

4. Contracts?

☐	☐

6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

☐	☐

15. Annually reported on DD?

☐	☐

☒ No ☐ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DENTSPLY SIRONA Inc

Basic Information

CIK	818479	Filing Date	13.06.2016	Link	URL SD URL CMR
Primary SIC	3843	SIC Division	Manufacturing		
Division Code	D	Industry	DENTAL EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DESCARTES SYSTEMS GROUP INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Destination Maternity Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DESWELL INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



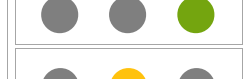
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DEWEY ELECTRONICS CORP

Basic Information

CIK	28561	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3480	SIC Division	Manufacturing		
Division Code	D	Industry	ORDNANCE & ACCESSORIES, (NO VEHICLES/GUIDED MISSILES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DEXCOM INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☐ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DIAGEO PLC

Basic Information

CIK	835403	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2080	SIC Division	Manufacturing		
Division Code	D	Industry	BEVERAGES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DICKS SPORTING GOODS INC

Basic Information

CIK	1089063	Filing Date	31.05.2016	Link	URL SD
Primary SIC	5940	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-MISCELLANEOUS SHOPPING GOODS STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/ 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DIEBOLD INC

Basic Information

CIK	28823	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3578	SIC Division	Manufacturing		
Division Code	D	Industry	CALCULATING & ACCOUNTING MACHINES (NO ELECTRONIC COMPUTERS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Differential Brands Group Inc

Basic Information

CIK	844143	Filing Date	27.05.2016	Link	URL SD
Primary SIC	2300	SIC Division	Manufacturing		
Division Code	D	Industry	APPAREL & OTHER FINISHD PRODS OF FABRICS & SIMILAR MATL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 4/ 5 (80%)

OECD conformance indicators Score: 0/ 0 (#####)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DIGI INTERNATIONAL INC

Basic Information

CIK	854775	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3576	SIC Division	Manufacturing		
Division Code	D	Industry	COMPUTER COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DIGIRAD CORP

Basic Information

CIK	707388	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DILLARDS INC

Basic Information

CIK	28917	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5311	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-DEPARTMENT STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

DIODES INC DEL

Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DJO Finance LLC

Basic Information

CIK	1395317	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Dolby Laboratories Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DONALDSON CO INC

Basic Information

CIK	29644	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3564	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL & COMMERCIAL FANS & BLOWERS & AIR PURIFYING EQUIP		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Dorman Products Inc

Basic Information

CIK	868780	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DOUGLAS DYNAMICS INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/ 8 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DOVER Corp

Basic Information

CIK	29905	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3530	SIC Division	Manufacturing		
Division Code	D	Industry	CONSTRUCTION, MINING & MATERIALS HANDLING MACHINERY & EQUIP		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DOW CHEMICAL CO DE

Basic Information

CIK	29915	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2821	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIALS, SYNTH RESINS & NONVULCAN ELASTOMERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DRAGONWAVE INC

Basic Information

CIK	1178946	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4812	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	RADIOTELEPHONE COMMUNICATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DreamWorks Animation SKG Inc

Basic Information

CIK	1297401	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7812	SIC Division	Services		
Division Code	I	Industry	SERVICES-MOTION PICTURE & VIDEO TAPE PRODUCTION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DREW INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



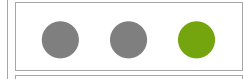
11. Products described?



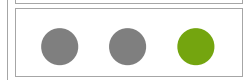
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DRIL QUIP INC

Basic Information

CIK	1042893	Filing Date	19.05.2016	Link	URL SD
Primary SIC	3533	SIC Division	Manufacturing		
Division Code	D	Industry	OIL & GAS FIELD MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DSP GROUP INC DE

Basic Information

CIK	915778	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DST SYSTEMS INC

Basic Information

CIK	714603	Filing Date	13.05.2016	Link	URL SD URL CMR
Primary SIC	7374	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROCESSING & DATA PREPARATION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DTS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DUCOMMUN INC DE

Basic Information

CIK	30305	Filing Date	10.06.2016	Link	URL SD URL CMR
Primary SIC	3728	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT PARTS & AUXILIARY EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DUPONT E I DE NEMOURS CO

Basic Information

CIK	30554	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2820	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIAL, SYNTH RESIN/RUBBER, CELLULOS (NO GLASS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?					
11. Products described?					
12. SOR facility(ies) listed?					
13. Country/ies of Origin disclosed?					
14. Efforts to determine mine?					
15. If "DRC conflict free" explicit, IPSA?					
16. Conducted and published audit report(s) of DD?					

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DYNAMIC MATERIALS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

DYNASIL CORP OF AMERICA

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐
☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EASTERN CO

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 8/16 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EASTMAN CHEMICAL CO

Basic Information

CIK	915389	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	2821	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIALS, SYNTH RESINS & NONVULCAN ELASTOMERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EASTMAN KODAK CO

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Eaton Corp plc

Basic Information

CIK	1551182	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	3590	SIC Division	Manufacturing		
Division Code	D	Industry	MISC INDUSTRIAL & COMMERCIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ECHELON CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



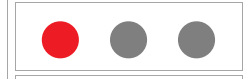
11. Products described?



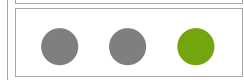
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EchoStar CORP

Basic Information

CIK	1415404	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ECOLAB INC

Basic Information

CIK	31462	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2840	SIC Division	Manufacturing		
Division Code	D	Industry	SOAP, DETERGENTS, CLEANG PREPARATIONS, PERFUMES, COSMETICS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EDGEWELL PERSONAL CARE Co

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Edwards Lifesciences Corp

Basic Information

CIK	1099800	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ELBIT SYSTEMS LTD

Basic Information

CIK	1027664	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3728	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT PARTS & AUXILIARY EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ELECTRO SCIENTIFIC INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ELECTRO SENSORS INC

Basic Information

CIK	351789	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Electromed Inc

Basic Information

CIK	1488917	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ELECTRONICS FOR IMAGING INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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ELTEK LTD

Division Code D **Industry** PRINTED CIRCUIT BOARDS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EMAGIN CORP

Basic Information

CIK	1046995	Filing Date	24.05.2016	Link	URL SD
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EMBRAER S A

Basic Information

CIK	1355444	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	3721	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EMC CORP

Basic Information

CIK	790070	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3572	SIC Division	Manufacturing		
Division Code	D	Industry	COMPUTER STORAGE DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EMCOR GROUP INC

Basic Information

CIK	105634	Filing Date	02.05.2016	Link	URL SD
Primary SIC	1731	SIC Division	Construction		
Division Code	C	Industry	ELECTRICAL WORK		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EMCORE CORP

Basic Information

CIK	808326	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EMERSON ELECTRIC CO

Basic Information

CIK	32604	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3600	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC & OTHER ELECTRICAL EQUIPMENT (NO COMPUTER EQUIP)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ENCISION INC

Basic Information

CIK	930775	Filing Date	17.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ENCORE WIRE CORP

Basic Information

CIK	850460	Filing Date	18.05.2016	Link	URL SD
Primary SIC	3350	SIC Division	Manufacturing		
Division Code	D	Industry	ROLLING DRAWING & EXTRUDING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Endo International plc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ENDOLOGIX INC DE

Basic Information

CIK	1013606	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ENERGIZER HOLDINGS INC

Basic Information

CIK	1632790	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

ENERGY FOCUS INC DE

Division Code	D	Industry	ELECTRIC LIGHTING & WIRING EQUIPMENT

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☒	☐	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☒	☐	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☐	☒	☐
10. Steps to improve DD?	☐	☒	☒
11. Products described?	☒	☐	☐
12. SOR facility(ies) listed?	☐	☒	☐
13. Country/ies of Origin disclosed?	☐	☒	☐
14. Efforts to determine mine?	☐	☒	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☒	☐

☒ Yes ☐ No ☐ NA



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Energy Recovery Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ENERNOC INC

Basic Information

CIK	1244937	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	7370	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROGRAMMING, DATA PROCESSING, ETC.		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EnerSys

Basic Information

CIK	1289308	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5063	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-ELECTRICAL APPARATUS & EQUIPMENT, WIRING SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPISA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Engility Holdings Inc

Basic Information

CIK	1544229	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	8711	SIC Division	Services		
Division Code	I	Industry	SERVICES-ENGINEERING SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes

ENI SPA

Division Code B **Industry** CRUDE PETROLEUM & NATURAL GAS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes

16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Enphase Energy Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



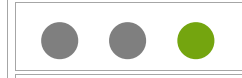
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ENPRO INDUSTRIES INC

Basic Information

CIK	1164863	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3050	SIC Division	Manufacturing		
Division Code	D	Industry	GASKETS, PACKG & SEALG DEVICES & RUBBER & PLASTICS HOSE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EnSync Inc

Basic Information

CIK	1140310	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4911	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	ELECTRIC SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ENTEGRIS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EnteroMedics Inc

Basic Information

CIK	1371217	Filing Date	19.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ERBA Diagnostics Inc

Basic Information

CIK	1095858	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2834	SIC Division	Manufacturing		
Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPASA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ERICKSON INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ERICSSON LM TELEPHONE CO

Basic Information

CIK	717826	Filing Date	12.04.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ESCALADE INC

Basic Information

CIK	33488	Filing Date	13.05.2016	Link	URL SD
Primary SIC	3949	SIC Division	Manufacturing		
Division Code	D	Industry	SPORTING & ATHLETIC GOODS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ESCO TECHNOLOGIES INC

Basic Information

CIK	866706	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3669	SIC Division	Manufacturing		
Division Code	D	Industry	COMMUNICATIONS EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ESPEY MFG ELECTRONICS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ESSENDANT INC

Basic Information

CIK	355999	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5110	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-PAPER & PAPER PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ESTEE LAUDER COMPANIES INC

Basic Information

CIK	1001250	Filing Date	27.05.2016	Link	URL SD
Primary SIC	2844	SIC Division	Manufacturing		
Division Code	D	Industry	PERFUMES, COSMETICS & OTHER TOILET PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ESTERLINE TECHNOLOGIES CORP

Basic Information

CIK	33619	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ETHAN ALLEN INTERIORS INC

Basic Information

CIK	896156	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2511	SIC Division	Manufacturing		
Division Code	D	Industry	WOOD HOUSEHOLD FURNITURE, (NO UPHOLSTERED)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Everi Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EXAR CORP

Basic Information

CIK	753568	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EXFO INC

Basic Information

CIK	1116284	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes

ExOne Co

Division Code	D	Industry	PRINTING TRADES MACHINERY & EQUIPMENT

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EXPRESS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Exterran Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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EXTREME NETWORKS INC

427



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

EXXON MOBIL CORP

Basic Information

CIK	34088	Filing Date	26.05.2016	Link	URL SD
Primary SIC	2911	SIC Division	Manufacturing		
Division Code	D	Industry	PETROLEUM REFINING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes

F5 NETWORKS INC

Division Code D **Industry** COMPUTER COMMUNICATIONS EQUIPMENT

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes

Fabrinet

Division Code	D	Industry	TELEPHONE & TELEGRAPH APPARATUS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FAIRCHILD SEMICONDUCTOR INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FARO TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FASTENAL CO

Basic Information

CIK	815556	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5200	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-BUILDING MATERIALS, HARDWARE, GARDEN SUPPLY		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Federal Mogul Holdings Corp

Basic Information

CIK	1419581	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FEDERAL SIGNAL CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FEI CO

Basic Information

CIK	914329	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3826	SIC Division	Manufacturing		
Division Code	D	Industry	LABORATORY ANALYTICAL INSTRUMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FERRO CORP

Basic Information

CIK	35214	Filing Date	26.05.2016	Link	URL SD
Primary SIC	2851	SIC Division	Manufacturing		
Division Code	D	Industry	PAINTS, VARNISHES, LACQUERS, ENAMELS & ALLIED PRODS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FINISAR CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FireEye Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FIRST DATA CORP

Basic Information

CIK	883980	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7389	SIC Division	Services		
Division Code	I	Industry	SERVICES-BUSINESS SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FIRST SOLAR INC

Basic Information

CIK	1274494	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FLEXSTEEL INDUSTRIES INC

Basic Information

CIK	37472	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2510	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FLEXTRONICS INTERNATIONAL LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



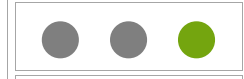
11. Products described?



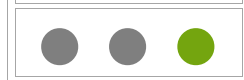
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FLIR SYSTEMS INC

Basic Information

CIK	354908	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3812	SIC Division	Manufacturing		
Division Code	D	Industry	SEARCH, DETECTION, NAVAGATION, GUIDANCE, AERONAUTICAL SYS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FLOTEK INDUSTRIES INC CN

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FLOWERVE CORP

Basic Information

CIK	30625	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3561	SIC Division	Manufacturing		
Division Code	D	Industry	PUMPS & PUMPING EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FLUIDIGM CORP

Basic Information

CIK	1162194	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3826	SIC Division	Manufacturing		
Division Code	D	Industry	LABORATORY ANALYTICAL INSTRUMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FMC TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FOOT LOCKER INC

Basic Information

CIK	850209	Filing Date	12.05.2016	Link	URL SD URL CMR
Primary SIC	5661	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-SHOE STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FORD MOTOR CO

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?



Basic Information

Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FORTINET INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Fortune Brands Home Security Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FORUM ENERGY TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



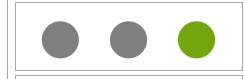
11. Products described?



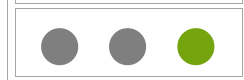
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Fossil Group Inc

Basic Information

CIK	883569	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3873	SIC Division	Manufacturing		
Division Code	D	Industry	WATCHES, CLOCKS, CLOCKWORK OPERATED DEVICES/PARTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FOSTER L B CO

Basic Information

CIK	352825	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5051	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-METALS SERVICE CENTERS & OFFICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FOX FACTORY HOLDING CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FRANKLIN ELECTRIC CO INC

Basic Information

CIK	38725	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3621	SIC Division	Manufacturing		
Division Code	D	Industry	MOTORS & GENERATORS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FRANKLIN WIRELESS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FREEMPORT MCMORAN INC

Basic Information

CIK	831259	Filing Date	26.05.2016	Link	URL SD
Primary SIC	1000	SIC Division	Mining		
Division Code	B	Industry	METAL MINING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusions statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FreightCar America Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FREQUENCY ELECTRONICS INC

Basic Information

CIK

Filing Date

Link [URL SD](#) [URL CMR](#)

Primary SIC

SIC Division

Division Code

Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Fresenius Medical Care AG Co KGaA

Basic Information

CIK	1333141	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	8090	SIC Division	Services		
Division Code	I	Industry	SERVICES-MISC HEALTH & ALLIED SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Fuel Systems Solutions Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



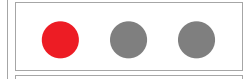
11. Products described?



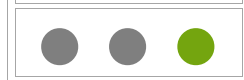
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FUELCELL ENERGY INC

Basic Information

CIK	886128	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

FULLER H B CO

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



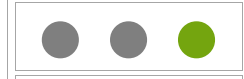
11. Products described?



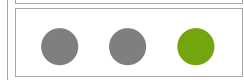
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

G III APPAREL GROUP LTD DE

Basic Information

CIK	821002	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2300	SIC Division	Manufacturing		
Division Code	D	Industry	APPAREL & OTHER FINISHD PRODS OF FABRICS & SIMILAR MATL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GameStop Corp

Basic Information

CIK	1326380	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5734	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-COMPUTER & COMPUTER SOFTWARE STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Gaming Partners International CORP

Basic Information

CIK	918580	Filing Date	27.05.2016	Link	URL SD
Primary SIC	3944	SIC Division	Manufacturing		
Division Code	D	Industry	GAMES, TOYS & CHILDREN'S VEHICLES (NO DOLLS & BICYCLES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GAP INC

Basic Information

CIK	39911	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5651	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-FAMILY CLOTHING STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

	No		NA		Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GARMIN LTD

Basic Information

CIK	1121788	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3812	SIC Division	Manufacturing		
Division Code	D	Industry	SEARCH, DETECTION, NAVAGATION, GUIDANCE, AERONAUTICAL SYS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GENCOR INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



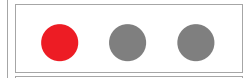
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GENERAC HOLDINGS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GENERAL CABLE CORP DE

Basic Information

CIK	886035	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3357	SIC Division	Manufacturing		
Division Code	D	Industry	DRAWING & INSULATING OF NONFERROUS WIRE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GENERAL DYNAMICS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



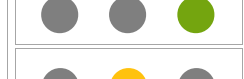
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GENERAL ELECTRIC CO

Basic Information

CIK	40545	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3600	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC & OTHER ELECTRICAL EQUIPMENT (NO COMPUTER EQUIP)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

General Motors Co

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GenMark Diagnostics Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GENTEX CORP

Basic Information

CIK	355811	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GENTHERM Inc

Basic Information

CIK	903129	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GEOSPACE TECHNOLOGIES CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GERDAU S A

Basic Information

CIK	1073404	Filing Date	29.02.2016	Link	URL SD
Primary SIC	3310	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING & FINISHING MILLS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7 / 7 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GIBRALTAR INDUSTRIES INC

Basic Information

CIK	912562	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3310	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING & FINISHING MILLS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GIGA TRONICS INC

Basic Information

CIK	719274	Filing Date	18.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Gigamon Inc

Basic Information

CIK	1484504	Filing Date	26.05.2016	Link	URL SD
Primary SIC	7374	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROCESSING & DATA PREPARATION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GigPeak Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GILAT SATELLITE NETWORKS LTD

Basic Information

CIK	897322	Filing Date	19.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No	NA	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Gildan Activewear Inc

Basic Information

CIK	1061894	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2300	SIC Division	Manufacturing		
Division Code	D	Industry	APPAREL & OTHER FINISHD PRODS OF FABRICS & SIMILAR MATL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/ 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GLAXOSMITHKLINE PLC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GLOBAL BRASS COPPER HOLDINGS INC

Basic Information

CIK	1533526	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3350	SIC Division	Manufacturing		
Division Code	D	Industry	ROLLING DRAWING & EXTRUDING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GLOBAL POWER EQUIPMENT GROUP INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Globalstar Inc

Basic Information

CIK	1366868	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4899	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	COMMUNICATIONS SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GLOBUS MEDICAL INC

Basic Information

CIK	1237831	Filing Date	12.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Gogo Inc

Basic Information

CIK	1537054	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4899	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	COMMUNICATIONS SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

GOODYEAR TIRE RUBBER CO OH

CIK	42582	Filing Date	31.05.2016	Link	URL SD	URL CMR

Primary SIC	3011	SIC Division	Manufacturing

Division Code	D	Industry	TIRES & INNER TUBES

SEC compliance indicators Score: 14/14 (100%) **OECD conformance indicators** Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GORMAN RUPP CO

Basic Information

CIK	42682	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3561	SIC Division	Manufacturing		
Division Code	D	Industry	PUMPS & PUMPING EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GRACO INC

Basic Information

CIK	42888	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3561	SIC Division	Manufacturing		
Division Code	D	Industry	PUMPS & PUMPING EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GRAFTECH INTERNATIONAL LTD

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GRAHAM CORP

Basic Information

CIK	716314	Filing Date	27.05.2016	Link	URL SD
Primary SIC	3560	SIC Division	Manufacturing		
Division Code	D	Industry	GENERAL INDUSTRIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Graham Holdings Co

Basic Information

CIK	104889	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	8200	SIC Division	Services		
Division Code	I	Industry	SERVICES-EDUCATIONAL SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GRAPHIC PACKAGING HOLDING CO

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



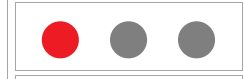
11. Products described?



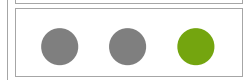
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GREATBATCH INC

Basic Information

CIK	1114483	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GREENBRIER COMPANIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



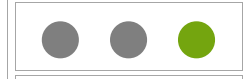
11. Products described?



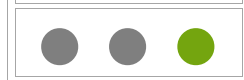
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GREIF INC

Basic Information

CIK	43920	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3412	SIC Division	Manufacturing		
Division Code	D	Industry	METAL SHIPPING BARRELS, DRUMS, KEGS & PAILS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GRIFFON CORP

Basic Information

CIK	50725	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3442	SIC Division	Manufacturing		
Division Code	D	Industry	METAL DOORS, SASH, FRAMES, MOLDINGS & TRIM		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GSI TECHNOLOGY INC

Basic Information

CIK	1126741	Filing Date	25.05.2016	Link	URL SD
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 3/ 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes

GUESS INC

CIK	912463	Filing Date	31.05.2016	Link	URL SD	URL CMR
Primary SIC	2340	SIC Division	Manufacturing			
Division Code	D	Industry	WOMEN'S, MISSES', CHILDREN'S & INFANTS' UNDERGARMENTS			

SEC compliance indicators Score: 12/14 (86%) **OECD conformance indicators** Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☒	☐	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☒	☐	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☒	☐	☐
10. Steps to improve DD?	☒	☐	☐
11. Products described?	☒	☐	☐
12. SOR facility(ies) listed?	☒	☐	☐
13. Country/ies of Origin disclosed?	☐	☒	☐
14. Efforts to determine mine?	☐	☒	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☒	☐

☒ Yes ☐ No ☐ NA



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Guidance Software Inc

Basic Information

CIK	1375557	Filing Date	31.05.2016	Link	URL SD
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

GYMBOREE CORP

Basic Information

CIK	786110	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2300	SIC Division	Manufacturing		
Division Code	D	Industry	APPAREL & OTHER FINISHD PRODS OF FABRICS & SIMILAR MATL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HAEMONETICS CORP

Basic Information

CIK	313143	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HALLIBURTON CO

Basic Information

CIK	45012	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	1389	SIC Division	Mining		
Division Code	B	Industry	OIL & GAS FIELD SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/16 (75%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Halyard Health Inc

Basic Information

CIK	1606498	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HANDY HARMAN LTD

Basic Information

CIK	106618	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3470	SIC Division	Manufacturing		
Division Code	D	Industry	COATING, ENGRAVING & ALLIED SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Hanesbrands Inc

Basic Information

CIK	1359841	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	5600	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-APPAREL & ACCESSORY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HANGER INC

Basic Information

CIK	722723	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	8093	SIC Division	Services		
Division Code	I	Industry	SERVICES-SPECIALTY OUTPATIENT FACILITIES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HANSEN MEDICAL INC

Basic Information

CIK	1276591	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HARDINGE INC

Basic Information

CIK	313716	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3541	SIC Division	Manufacturing		
Division Code	D	Industry	MACHINE TOOLS, METAL CUTTING TYPES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HARLEY DAVIDSON INC

Basic Information

CIK	793952	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3751	SIC Division	Manufacturing		
Division Code	D	Industry	MOTORCYCLES, BICYCLES & PARTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HARMAN INTERNATIONAL INDUSTRIES INC DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HARMONIC INC

Basic Information

CIK	851310	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HARRIS CORP DE

Basic Information

CIK	202058	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3812	SIC Division	Manufacturing		
Division Code	D	Industry	SEARCH, DETECTION, NAVAGATION, GUIDANCE, AERONAUTICAL SYS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HARSCO CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HASBRO INC

Basic Information

CIK	46080	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3944	SIC Division	Manufacturing		
Division Code	D	Industry	GAMES, TOYS & CHILDREN'S VEHICLES (NO DOLLS & BICYCLES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HAYNES INTERNATIONAL INC

Basic Information

CIK	858655	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3310	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING & FINISHING MILLS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HD Supply Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

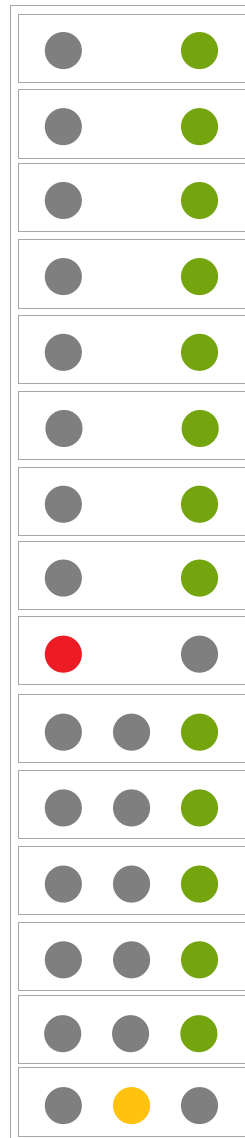
SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

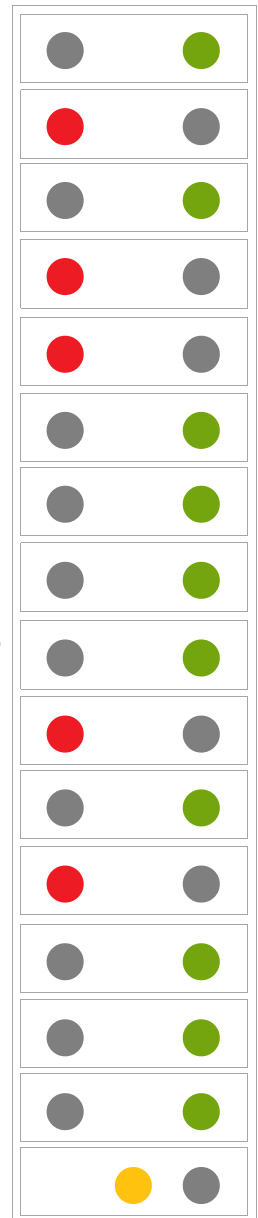
For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?



● No ● NA ● Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HeartWare International Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

☐	☐
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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HEICO CORP

Basic Information

CIK	46619	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3724	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT ENGINES & ENGINE PARTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

HELEN OF TROY LTD

Division Code	D	Industry	ELECTRIC HOUSEWARES & FANS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HENRY SCHEIN INC

Basic Information

CIK	1000228	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	5047	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-MEDICAL, DENTAL & HOSPITAL EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HERSHEY CO

Basic Information

CIK	47111	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2060	SIC Division	Manufacturing		
Division Code	D	Industry	SUGAR & CONFECTIONERY PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HESS CORP

Basic Information

CIK	4447	Filing Date	26.05.2016	Link	URL SD
Primary SIC	2911	SIC Division	Manufacturing		
Division Code	D	Industry	PETROLEUM REFINING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3 / 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Hewlett Packard Enterprise Co

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



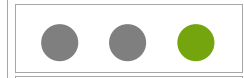
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HICKOK INC

Basic Information

CIK	47307	Filing Date	13.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Hill Rom Holdings Inc

Basic Information

CIK	47518	Filing Date	17.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Hillenbrand Inc

Basic Information

CIK	1417398	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3990	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS MANUFACTURING INDUSTRIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HILLMAN COMPANIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



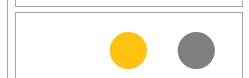
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Himax Technologies Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

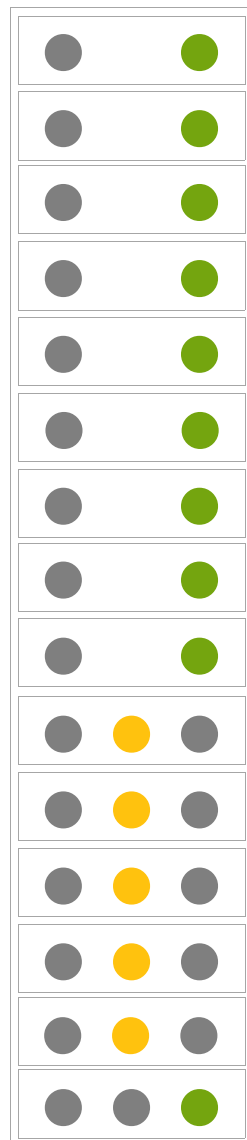
SEC compliance indicators Score: 9/ 9 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/16 (56%)

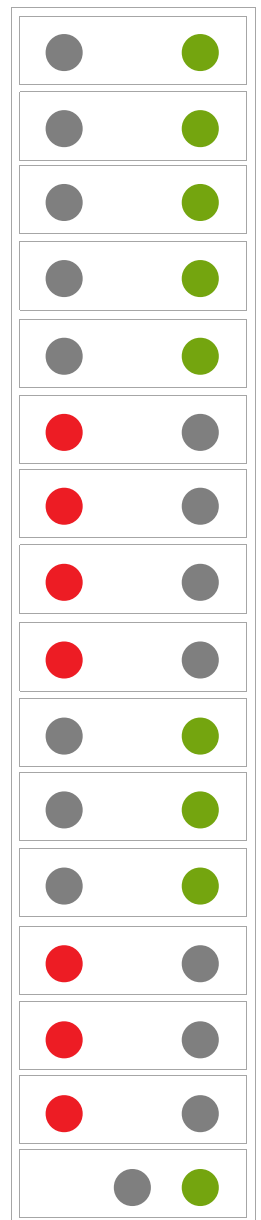
For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HNI CORP

Basic Information

CIK	48287	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2522	SIC Division	Manufacturing		
Division Code	D	Industry	OFFICE FURNITURE (NO WOOD)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HollyFrontier Corp

Basic Information

CIK	48039	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2911	SIC Division	Manufacturing		
Division Code	D	Industry	PETROLEUM REFINING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HOLOGIC INC

Basic Information

CIK	859737	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3844	SIC Division	Manufacturing		
Division Code	D	Industry	X-RAY APPARATUS & TUBES & RELATED IRRADIATION APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HOME DEPOT INC

Basic Information

CIK	354950	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5211	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-LUMBER & OTHER BUILDING MATERIALS DEALERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HONDA MOTOR CO LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



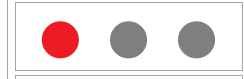
11. Products described?



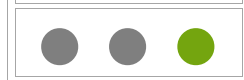
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HONEYWELL INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐
☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

☐	☐
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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HOOKE FURNITURE CORP

Basic Information

CIK	1077688	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2510	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusions statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Horizon Global Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Houghton Mifflin Harcourt Co

Basic Information

CIK	1580156	Filing Date	24.05.2016	Link	URL SD
Primary SIC	2731	SIC Division	Manufacturing		
Division Code	D	Industry	BOOKS: PUBLISHING OR PUBLISHING & PRINTING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HP INC

Basic Information

CIK	47217	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3570	SIC Division	Manufacturing		
Division Code	D	Industry	COMPUTER & OFFICE EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HRG GROUP INC

Basic Information

CIK	109177	Filing Date	27.05.2016	Link	URL SD
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 4/ 5 (80%)

OECD conformance indicators Score: 0/ 0 (#####)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HUBBELL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



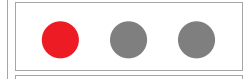
11. Products described?



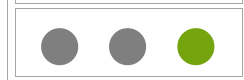
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Hughes Satellite Systems Corp

Basic Information

CIK	1533758	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	4899	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	COMMUNICATIONS SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HUNTINGTON INGALLS INDUSTRIES INC

Basic Information

CIK	1501585	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3730	SIC Division	Manufacturing		
Division Code	D	Industry	SHIP & BOAT BUILDING & REPAIRING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HURCO COMPANIES INC

Basic Information

CIK	315374	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HUTCHINSON TECHNOLOGY INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

HYSTER YALE MATERIALS HANDLING INC

Basic Information

CIK	1173514	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3537	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL TRUCKS, TRACTORS, TRAILORS & STACKERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ICAD INC

Basic Information

CIK	749660	Filing Date	20.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ICAHN ENTERPRISES L P

Basic Information

CIK	813762	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2911	SIC Division	Manufacturing		
Division Code	D	Industry	PETROLEUM REFINING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ID SYSTEMS INC

Basic Information

CIK	49615	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3669	SIC Division	Manufacturing		
Division Code	D	Industry	COMMUNICATIONS EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IDAHO POWER CO

Basic Information

CIK	49648	Filing Date	31.05.2016	Link	URL SD
Primary SIC	4911	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	ELECTRIC SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IDEX CORP DE

Basic Information

CIK	832101	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3561	SIC Division	Manufacturing		
Division Code	D	Industry	PUMPS & PUMPING EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IDEXX LABORATORIES INC DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IEC ELECTRONICS CORP

Basic Information

CIK	49728	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3672	SIC Division	Manufacturing		
Division Code	D	Industry	PRINTED CIRCUIT BOARDS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

II VI INC

Basic Information

CIK	820318	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3827	SIC Division	Manufacturing		
Division Code	D	Industry	OPTICAL INSTRUMENTS & LENSES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ILLINOIS TOOL WORKS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



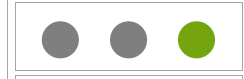
11. Products described?



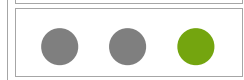
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ILLUMINA INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IMAGE SENSING SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



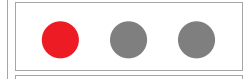
11. Products described?



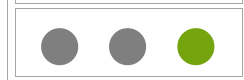
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IMATION CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IMAX CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IMPERIAL OIL LTD

Basic Information

CIK	49938	Filing Date	26.05.2016	Link	URL SD
Primary SIC	2911	SIC Division	Manufacturing		
Division Code	D	Industry	PETROLEUM REFINING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusions statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IMPLANT SCIENCES CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



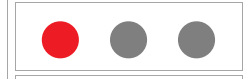
11. Products described?



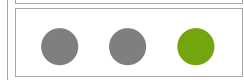
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INFINERA CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INFOBLOX INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Ingersoll Rand plc

Basic Information

CIK	1466258	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3822	SIC Division	Manufacturing		
Division Code	D	Industry	AUTO CONTROLS FOR REGULATING RESIDENTIAL & COMML ENVIRONMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

INNOSPEC INC



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INNOVATIVE SOLUTIONS SUPPORT INC

Basic Information

CIK	836690	Filing Date	31.05.2016	Link	URL SD
Primary SIC	7371	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROGRAMMING SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Inogen Inc

Basic Information

CIK	1294133	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INPHI Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Inrad Optics Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INSULET CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTEGRA LIFESCIENCES HOLDINGS CORP

Basic Information

CIK	917520	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3826	SIC Division	Manufacturing		
Division Code	D	Industry	LABORATORY ANALYTICAL INSTRUMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTEGRATED DEVICE TECHNOLOGY INC

Basic Information

CIK	703361	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No	NA	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Integrity Applications Inc

Basic Information

CIK	1506983	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTEL CORP

Basic Information

CIK	50863	Filing Date	19.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 16/16 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTELLIGENT SYSTEMS CORP

Basic Information

CIK	320340	Filing Date	25.05.2016	Link	URL SD
Primary SIC	3452	SIC Division	Manufacturing		
Division Code	D	Industry	BOLTS, NUTS, SCREWS, RIVETS & WASHERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 3/ 7 (43%)

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Interactive Intelligence Group Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTERNATIONAL BUSINESS MACHINES CORP

Basic Information

CIK	51143	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3570	SIC Division	Manufacturing		
Division Code	D	Industry	COMPUTER & OFFICE EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

International Game Technology PLC

Basic Information

CIK	1619762	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7990	SIC Division	Services		
Division Code	I	Industry	SERVICES-MISCELLANEOUS AMUSEMENT & RECREATION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTERNET INITIATIVE JAPAN INC

Basic Information

CIK	1090633	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	7370	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROGRAMMING, DATA PROCESSING, ETC.		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTERSECTIONS INC

Basic Information

CIK	1095277	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7374	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROCESSING & DATA PREPARATION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTERSIL CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



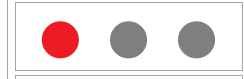
11. Products described?



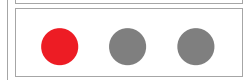
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTERTAPE POLYMER GROUP INC

Basic Information

CIK	880224	Filing Date	10.05.2016	Link	URL SD
Primary SIC	2670	SIC Division	Manufacturing		
Division Code	D	Industry	CONVERTED PAPER & PAPERBOARD PRODS (NO CONTANERS/BOXES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 5 (100%) **OECD conformance indicators** Score: 0/ 0 (#####)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

☐	☒

3. URL?

☐	☒

4. Conclusional statement?

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5. Followed definitions?

☐	☒

6. RCOI undertaken described?

☐	☐

7. DD described?

☐	☐	☐

1. Policy?

☐	☐

2. Organizational structure?

☐	☐

3. Digital information-sharing systems?

☐	☐

4. Contracts?

☐	☐

6. Identified SOR(s) or upstream gaps?

☐	☐

7. Engaged with SOR(s) to obtain information?

☐	☐

8. Assessed SOR DD?

☐	☐

15. Annually reported on DD?

☐	☐

☒ No ☐ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTEST CORP

Basic Information

CIK	1036262	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTEVAC INC

Basic Information

CIK	1001902	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3559	SIC Division	Manufacturing		
Division Code	D	Industry	SPECIAL INDUSTRY MACHINERY, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTRICON CORP

Basic Information

CIK	88790	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3670	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPONENTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTUIT INC

Basic Information

CIK	896878	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INTUITIVE SURGICAL INC

Basic Information

CIK	1035267	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

INVACARE CORP

Basic Information

CIK	742112	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

InvenSense Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ION GEOPHYSICAL CORP

Basic Information

CIK	866609	Filing Date	23.05.2016	Link	URL SD URL CMR
Primary SIC	1382	SIC Division	Mining		
Division Code	B	Industry	OIL & GAS FIELD EXPLORATION SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IPG PHOTONICS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



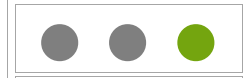
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?



IRIDEX CORP

Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Iridium Communications Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IROBOT CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



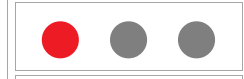
11. Products described?



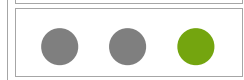
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IsoRay Inc

Basic Information

CIK	728387	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ITRON INC WA

Basic Information

CIK	780571	Filing Date	12.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ITT Inc

Basic Information

CIK	216228	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3561	SIC Division	Manufacturing		
Division Code	D	Industry	PUMPS & PUMPING EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Ituran Location Control Ltd

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IXIA

Basic Information

CIK	1120295	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

IXYS CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

J C PENNEY CO INC

Basic Information

CIK	1166126	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5311	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-DEPARTMENT STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

J CREW GROUP INC

Basic Information

CIK	1051251	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5600	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-APPAREL & ACCESSORY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

JABIL CIRCUIT INC

Basic Information

CIK	898293	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3672	SIC Division	Manufacturing		
Division Code	D	Industry	PRINTED CIRCUIT BOARDS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

James Hardie Industries plc

Basic Information

CIK	1159152	Filing Date	27.05.2016	Link	URL SD
Primary SIC	3272	SIC Division	Manufacturing		
Division Code	D	Industry	CONCRETE PRODUCTS, EXCEPT BLOCK & BRICK		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

JinkoSolar Holding Co Ltd

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

John Bean Technologies CORP

Basic Information

CIK	1433660	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3550	SIC Division	Manufacturing		
Division Code	D	Industry	SPECIAL INDUSTRY MACHINERY (NO METALWORKING MACHINERY)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

JOHNSON CONTROLS INC

Basic Information

CIK	53669	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2531	SIC Division	Manufacturing		
Division Code	D	Industry	PUBLIC BLDG & RELATED FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

JOHNSON JOHNSON

Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes

JOHNSON OUTDOORS INC

Division Code	D	Industry	SPORTING & ATHLETIC GOODS, NEC

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☐	☒	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☒	☐	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☒	☐	☐
10. Steps to improve DD?	☒	☐	☐
11. Products described?	☒	☐	☐
12. SOR facility(ies) listed?	☒	☐	☐
13. Country/ies of Origin disclosed?	☐	☒	☐
14. Efforts to determine mine?	☒	☐	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☒	☐

☒ No
 ☐ NA
 ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

JOY GLOBAL INC

Basic Information

CIK	801898	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3532	SIC Division	Manufacturing		
Division Code	D	Industry	MINING MACHINERY & EQUIP (NO OIL & GAS FIELD MACH & EQUIP)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

JUNIPER NETWORKS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KADANT INC

Basic Information

CIK	886346	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3550	SIC Division	Manufacturing		
Division Code	D	Industry	SPECIAL INDUSTRY MACHINERY (NO METALWORKING MACHINERY)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KAISER ALUMINUM CORP

Basic Information

CIK	811596	Filing Date	27.05.2016	Link	URL SD
Primary SIC	3350	SIC Division	Manufacturing		
Division Code	D	Industry	ROLLING DRAWING & EXTRUDING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KAMAN Corp

Basic Information

CIK	54381	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5080	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Kate Spade Co

Basic Information

CIK	352363	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2330	SIC Division	Manufacturing		
Division Code	D	Industry	WOMEN'S, MISSES', AND JUNIORS OUTERWEAR		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/ 8 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KEMET CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/ 9 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/16 (94%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KENNAMETAL INC

Basic Information

CIK	55242	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3541	SIC Division	Manufacturing		
Division Code	D	Industry	MACHINE TOOLS, METAL CUTTING TYPES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPISA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KEWAUNEE SCIENTIFIC CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KEY ENERGY SERVICES INC

Basic Information

CIK	318996	Filing Date	16.05.2016	Link	URL SD URL CMR
Primary SIC	1389	SIC Division	Mining		
Division Code	B	Industry	OIL & GAS FIELD SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KEY TECHNOLOGY INC

Basic Information

CIK	906193	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3550	SIC Division	Manufacturing		
Division Code	D	Industry	SPECIAL INDUSTRY MACHINERY (NO METALWORKING MACHINERY)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KEY TRONIC CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Keysight Technologies Inc

Basic Information

CIK	1601046	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KEYW HOLDING CORP

Basic Information

CIK	1487101	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Kimball Electronics Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KIMBALL INTERNATIONAL INC

Basic Information

CIK	55772	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2510	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KIMBERLY CLARK CORP

Basic Information

CIK	55785	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2670	SIC Division	Manufacturing		
Division Code	D	Industry	CONVERTED PAPER & PAPERBOARD PRODS (NO CONTANERS/BOXES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KINDER MORGAN INC

Basic Information

CIK	1506307	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	4922	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	NATURAL GAS TRANSMISSION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

KINGOLD JEWELRY INC

Division Code		Industry	SERVICES-BUSINESS SERVICES, NEC

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KIRBY CORP

Basic Information

CIK	56047	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	4400	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	WATER TRANSPORTATION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KIRKLAND S INC

Basic Information

CIK	1056285	Filing Date	23.05.2016	Link	URL SD
Primary SIC	5990	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-RETAIL STORES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/ 8 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KLA TENCOR CORP

Basic Information

CIK	319201	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3827	SIC Division	Manufacturing		
Division Code	D	Industry	OPTICAL INSTRUMENTS & LENSES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KLX Inc

Basic Information

CIK	1617898	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3720	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT & PARTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KNOLL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Knowles Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KOHL'S Corp

Basic Information

CIK	885639	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5311	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-DEPARTMENT STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KONINKLIJKE PHILIPS NV

Basic Information

CIK	313216	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3600	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC & OTHER ELECTRICAL EQUIPMENT (NO COMPUTER EQUIP)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 12/16 (75%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KOPIN CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KOSS CORP

Basic Information

CIK	56701	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3651	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD AUDIO & VIDEO EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KRATOS DEFENSE SECURITY SOLUTIONS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KROGER CO

Basic Information

CIK	56873	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5411	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-GROCERY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KULICKE SOFFA INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

KVH INDUSTRIES INC DE

Basic Information

CIK	1007587	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

KYOCERA CORP

Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

L 3 COMMUNICATIONS HOLDINGS INC

Basic Information

CIK	1056239	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

L Brands Inc

Basic Information

CIK	701985	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5621	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-WOMEN'S CLOTHING STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LA Z BOY INC

Basic Information

CIK	57131	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2510	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LABORATORY CORP OF AMERICA HOLDINGS

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LabStyle Innovations Corp

Basic Information

CIK	1533998	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LAM RESEARCH CORP

Basic Information

CIK	707549	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3559	SIC Division	Manufacturing		
Division Code	D	Industry	SPECIAL INDUSTRY MACHINERY, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LANDAUER INC

Basic Information

CIK	825410	Filing Date	25.05.2016	Link	URL SD
Primary SIC	3829	SIC Division	Manufacturing		
Division Code	D	Industry	MEASURING & CONTROLLING DEVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LANDS END INC

Basic Information

CIK	799288	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	5651	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-FAMILY CLOTHING STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Lantheus Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LANTRONIX INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LATTICE SEMICONDUCTOR CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



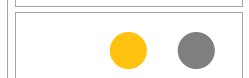
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LAYNE CHRISTENSEN CO

Basic Information

CIK	888504	Filing Date	31.05.2016	Link	URL SD
Primary SIC	1700	SIC Division	Construction		
Division Code	C	Industry	CONSTRUCTION - SPECIAL TRADE CONTRACTORS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LEAR CORP

Basic Information

CIK	842162	Filing Date	23.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LEGGETT PLATT INC

Basic Information

CIK	58492	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2510	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Leidos Holdings Inc

Basic Information

CIK	1336920	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LEMAITRE VASCULAR INC

Basic Information

CIK	1158895	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LENNOX INTERNATIONAL INC

Basic Information

CIK	1069202	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3585	SIC Division	Manufacturing		
Division Code	D	Industry	AIR-COND & WARM AIR HEATG EQUIP & COMM & INDL REFRIG EQUIP		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LEVI STRAUSS CO

Basic Information

CIK	94845	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2300	SIC Division	Manufacturing		
Division Code	D	Industry	APPAREL & OTHER FINISHD PRODS OF FABRICS & SIMILAR MATL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LEXMARK INTERNATIONAL INC KY

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LG Display Co Ltd

Basic Information

CIK	1290109	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3679	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPONENTS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LGL GROUP INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Liberty Interactive Corp

Basic Information

CIK	1355096	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5961	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-CATALOG & MAIL-ORDER HOUSES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Lifeloc Technologies Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LIFETIME BRANDS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LIGHTING SCIENCE GROUP CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LIGHTPATH TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



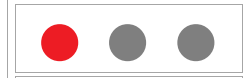
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LILLY ELI CO

Basic Information

CIK	59478	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	2834	SIC Division	Manufacturing		
Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No	NA	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LINCOLN ELECTRIC HOLDINGS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LINDSAY CORP

Basic Information

CIK	836157	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3523	SIC Division	Manufacturing		
Division Code	D	Industry	FARM MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LINEAR TECHNOLOGY CORP CA

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LITTELFUSE INC DE

Basic Information

CIK	889331	Filing Date	26.05.2016	Link	URL SD
Primary SIC	3613	SIC Division	Manufacturing		
Division Code	D	Industry	SWITCHGEAR & SWITCHBOARD APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3 / 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LivaNova PLC

Basic Information

CIK	1639691	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LKQ CORP

Basic Information

CIK	1065696	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5010	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-MOTOR VEHICLES & MOTOR VEHICLE PARTS & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LMI AEROSPACE INC

Basic Information

CIK	1059562	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3728	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT PARTS & AUXILIARY EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LOCKHEED MARTIN CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LOGITECH INTERNATIONAL SA

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



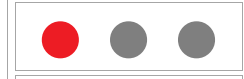
11. Products described?



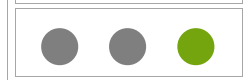
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LOWES COMPANIES INC

Basic Information

CIK	60667	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5211	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-LUMBER & OTHER BUILDING MATERIALS DEALERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LRAD Corp

Basic Information

CIK	924383	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3651	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD AUDIO & VIDEO EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LSB INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LSI INDUSTRIES INC

Basic Information

CIK	763532	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3640	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRIC LIGHTING & WIRING EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
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10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Lumentum Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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LUMINEX CORP

CIK	1033905	Filing Date	27.05.2016	Link	URL SD	URL CMR
Primary SIC	3841	SIC Division	Manufacturing			
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS			

SEC compliance indicators Score: 12/14 (86%) **OECD conformance indicators** Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☐	☒	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☐	☒	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☒	☐	☐
10. Steps to improve DD?	☒	☐	☐
11. Products described?	☒	☐	☐
12. SOR facility(ies) listed?	☒	☐	☐
13. Country/ies of Origin disclosed?	☒	☐	☐
14. Efforts to determine mine?	☒	☐	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☒	☐

☒ No
 ☐ NA
 ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LUNA INNOVATIONS INC

Basic Information

CIK	1239819	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	8731	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMMERCIAL PHYSICAL & BIOLOGICAL RESEARCH		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LUXFER HOLDINGS PLC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LUXOTTICA GROUP SPA

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



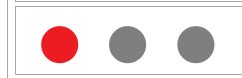
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LYDALL INC DE

Basic Information

CIK	60977	Filing Date	20.05.2016	Link	URL SD
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

LyondellBasell Industries N V

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

M A COM Technology Solutions Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/16 (81%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Macy's Inc

Basic Information

CIK	794367	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5311	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-DEPARTMENT STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MAD CATZ INTERACTIVE INC

Basic Information

CIK	1088162	Filing Date	16.05.2016	Link	URL SD URL CMR
Primary SIC	3944	SIC Division	Manufacturing		
Division Code	D	Industry	GAMES, TOYS & CHILDREN'S VEHICLES (NO DOLLS & BICYCLES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MAGICJACK VOCALTEC LTD

Basic Information

CIK	1005699	Filing Date	31.05.2016	Link	URL SD
Primary SIC	4813	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	TELEPHONE COMMUNICATIONS (NO RADIOTELEPHONE)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MAGNA INTERNATIONAL INC

Basic Information

CIK	749098	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MAGNACHIP SEMICONDUCTOR Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No, Yellow circle: NA, Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Malibu Boats Inc

Basic Information

CIK	1590976	Filing Date	16.05.2016	Link	URL SD URL CMR
Primary SIC	3730	SIC Division	Manufacturing		
Division Code	D	Industry	SHIP & BOAT BUILDING & REPAIRING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Mallinckrodt plc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



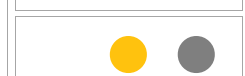
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Manitex International Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MANITOWOC CO INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



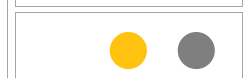
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Manitowoc Foodservice Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MARINE PRODUCTS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MARKEL CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MARVELL TECHNOLOGY GROUP LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MASCO CORP DE

Basic Information

CIK	62996	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2430	SIC Division	Manufacturing		
Division Code	D	Industry	MILLWOOD, VENEER, PLYWOOD, & STRUCTURAL WOOD MEMBERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MASIMO CORP

Basic Information

CIK	937556	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MASONITE INTERNATIONAL CORP

Basic Information

CIK	893691	Filing Date	23.05.2016	Link	URL SD
Primary SIC	2430	SIC Division	Manufacturing		
Division Code	D	Industry	MILLWOOD, VENEER, PLYWOOD, & STRUCTURAL WOOD MEMBERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MATERIALISE NV

Basic Information

CIK	1091223	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MATERION Corp

Basic Information

CIK	1104657	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3460	SIC Division	Manufacturing		
Division Code	D	Industry	METAL FORGINGS & STAMPINGS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MATTEL INC DE

Basic Information

CIK	63276	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3942	SIC Division	Manufacturing		
Division Code	D	Industry	DOLLS & STUFFED TOYS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MATTHEWS INTERNATIONAL CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



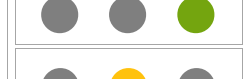
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MAXIM INTEGRATED PRODUCTS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MAXLINEAR INC

Basic Information

CIK	1288469	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MAXWELL TECHNOLOGIES INC

Basic Information

CIK	319815	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MAZOR ROBOTICS LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐
☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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☐	☐



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MCDERMOTT INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



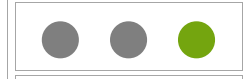
11. Products described?



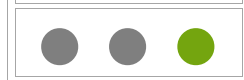
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No, Yellow circle: NA, Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MCDONALDS CORP

Basic Information

CIK	63908	Filing Date	27.05.2016	Link	URL SD
Primary SIC	5812	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-EATING PLACES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MCKESSON CORP

Basic Information

CIK	927653	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5122	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-DRUGS, PROPRIETARIES & DRUGGISTS' SUNDRIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MDU RESOURCES GROUP INC

Basic Information

CIK	67716	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	1400	SIC Division	Mining		
Division Code	B	Industry	MINING & QUARRYING OF NONMETALLIC MINERALS (NO FUELS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MECHANICAL TECHNOLOGY INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



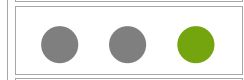
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MEDICINES CO DE

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Medtronic plc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Mellanox Technologies Ltd

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



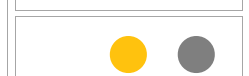
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MENTOR GRAPHICS CORP

Basic Information

CIK	701811	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Merck Co Inc

Basic Information

CIK	310158	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2834	SIC Division	Manufacturing		
Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPASA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MERCURY SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



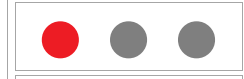
11. Products described?



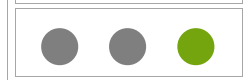
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MERIDIAN BIOSCIENCE INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MERIT MEDICAL SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MERITOR INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MESA LABORATORIES INC CO

Basic Information

CIK	724004	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

METHODE ELECTRONICS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

METTLER TOLEDO INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MGC DIAGNOSTICS Corp

Basic Information

CIK	815093	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MGP INGREDIENTS INC

Basic Information

CIK	835011	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5180	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-BEER, WINE & DISTILLED ALCOHOLIC BEVERAGES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Michael Kors Holdings Ltd

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Michaels Companies Inc

Basic Information

CIK	1593936	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5945	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-HOBBY, TOY & GAME SHOPS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MICROCHIP TECHNOLOGY INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MICRON TECHNOLOGY INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MICRONET ENERTEC TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MICROSEMI CORP

Basic Information

CIK	310568	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MICROSOFT CORP

Basic Information

CIK	789019	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MICROVISION INC

Basic Information

CIK	65770	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3679	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPONENTS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

☒	☐

3. Digital information-sharing systems?

☒	☐

4. Contracts?

☒	☐

6. Identified SOR(s) or upstream gaps?

☒	☐

7. Engaged with SOR(s) to obtain information?

☒	☐

8. Assessed SOR DD?

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15. Annually reported on DD?

☒	☐

☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MICROWAVE FILTER CO INC NY

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



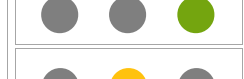
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MIDDLEBY CORP

Basic Information

CIK	769520	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3580	SIC Division	Manufacturing		
Division Code	D	Industry	REFRIGERATION & SERVICE INDUSTRY MACHINERY		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MILLER HERMAN INC

Basic Information

CIK	66382	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2520	SIC Division	Manufacturing		
Division Code	D	Industry	OFFICE FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MILLER INDUSTRIES INC TN

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MINERALS TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MISONIX INC

Basic Information

CIK	880432	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3821	SIC Division	Manufacturing		
Division Code	D	Industry	LABORATORY APPARATUS & FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Mistras Group Inc

Basic Information

CIK	1436126	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	8711	SIC Division	Services		
Division Code	I	Industry	SERVICES-ENGINEERING SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MITCHAM INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



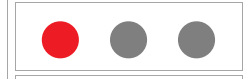
11. Products described?



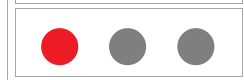
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MITEL NETWORKS CORP

Basic Information

CIK	1170534	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MKS INSTRUMENTS INC

Basic Information

CIK	1049502	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MOCON INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MODINE MANUFACTURING CO

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MOHAWK INDUSTRIES INC

Basic Information

CIK	851968	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2273	SIC Division	Manufacturing		
Division Code	D	Industry	CARPETS & RUGS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MONOLITHIC POWER SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MONSANTO CO NEW

Basic Information

CIK	1110783	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2870	SIC Division	Manufacturing		
Division Code	D	Industry	AGRICULTURAL CHEMICALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MOOG INC

Basic Information

CIK	67887	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3590	SIC Division	Manufacturing		
Division Code	D	Industry	MISC INDUSTRIAL & COMMERCIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MoSys Inc

Basic Information

CIK	890394	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MOTORCAR PARTS AMERICA INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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MOVADO GROUP INC

CIK	72573	Filing Date	26.05.2016	Link	URL SD	URL CMR
Primary SIC	3873	SIC Division	Manufacturing			
Division Code	D	Industry	WATCHES, CLOCKS, CLOCKWORK OPERATED DEVICES/PARTS			

SEC compliance indicators Score: 11/14 (79%) **OECD conformance indicators** Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☐	☒	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☒	☐	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☐	☒	☐
10. Steps to improve DD?	☒	☐	☐
11. Products described?	☒	☐	☐
12. SOR facility(ies) listed?	☒	☐	☐
13. Country/ies of Origin disclosed?	☐	☒	☐
14. Efforts to determine mine?	☒	☐	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☒	☐

☒ No
 ☐ NA
 ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MPM Holdings Inc

Basic Information

CIK	1624826	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2860	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL ORGANIC CHEMICALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MRC GLOBAL INC

Basic Information

CIK	1439095	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5084	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-INDUSTRIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MRV COMMUNICATIONS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



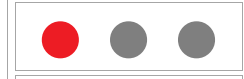
11. Products described?



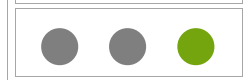
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MSA Safety Inc

Basic Information

CIK	66570	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?	
2. Signed?	
3. URL?	
4. Conclusions statement?	
5. Followed definitions?	
6. RCOI separate?	
7. DD described?	
8. DD framework named?	
9. DD 5 steps?	
10. Steps to improve DD?	
11. Products described?	
12. SOR facility(ies) listed?	
13. Country/ies of Origin disclosed?	
14. Efforts to determine mine?	
15. If "DRC conflict free" explicit, IPSA?	

NoNAYes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MSC INDUSTRIAL DIRECT CO INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



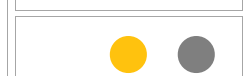
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MTS SYSTEMS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☐ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MUELLER INDUSTRIES INC

Basic Information

CIK	89439	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3350	SIC Division	Manufacturing		
Division Code	D	Industry	ROLLING DRAWING & EXTRUDING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Mueller Water Products Inc

Basic Information

CIK	1350593	Filing Date	27.05.2016	Link	URL SD
Primary SIC	3490	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS FABRICATED METAL PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MULTI COLOR Corp

Basic Information

CIK	819220	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2750	SIC Division	Manufacturing		
Division Code	D	Industry	COMMERCIAL PRINTING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

MULTI FINELINE ELECTRONIX INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



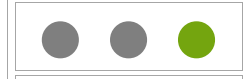
11. Products described?



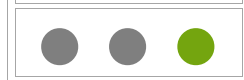
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NABORS INDUSTRIES LTD

Basic Information

CIK	1163739	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	1381	SIC Division	Mining		
Division Code	B	Industry	DRILLING OIL & GAS WELLS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NACCO INDUSTRIES INC

Basic Information

CIK	789933	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3630	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD APPLIANCES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NANOMETRICS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NANOPHASE TECHNOLOGIES Corp

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NANOSPHERE INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NAPCO SECURITY TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NATIONAL INSTRUMENTS CORP

Basic Information

CIK	935494	Filing Date	19.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NATIONAL OILWELL VARCO INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NATIONAL PRESTO INDUSTRIES INC

Basic Information

CIK	80172	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3480	SIC Division	Manufacturing		
Division Code	D	Industry	ORDNANCE & ACCESSORIES, (NO VEHICLES/GUIDED MISSILES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NATIONAL STEEL CO

Basic Information

CIK	1049659	Filing Date	16.05.2016	Link	URL SD
Primary SIC	3310	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING & FINISHING MILLS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3 / 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NATURAL GAS SERVICES GROUP INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 1/14 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



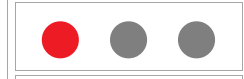
11. Products described?



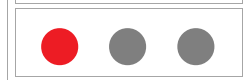
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NAUTILUS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NAVIDEA BIOPHARMACEUTICALS INC

Basic Information

CIK	810509	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2835	SIC Division	Manufacturing		
Division Code	D	Industry	IN VITRO & IN VIVO DIAGNOSTIC SUBSTANCES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NAVISTAR INTERNATIONAL CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



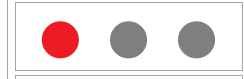
11. Products described?



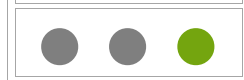
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NCI BUILDING SYSTEMS INC

Basic Information

CIK	883902	Filing Date	25.05.2016	Link	URL SD
Primary SIC	3448	SIC Division	Manufacturing		
Division Code	D	Industry	PREFABRICATED METAL BUILDINGS & COMPONENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5 / 8 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NCR CORP

Basic Information

CIK	70866	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3578	SIC Division	Manufacturing		
Division Code	D	Industry	CALCULATING & ACCOUNTING MACHINES (NO ELECTRONIC COMPUTERS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Neiman Marcus Group LTD LLC

Basic Information

CIK	1358651	Filing Date	26.05.2016	Link	URL SD
Primary SIC	5311	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-DEPARTMENT STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusions statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NEOGEN CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NEOPHOTONICS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NetApp Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NETGEAR INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NETLIST INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NETSCOUT SYSTEMS INC

Basic Information

CIK	1078075	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NeuroMetrix Inc

Basic Information

CIK	1289850	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

New York Company Inc

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NEWELL BRANDS INC

Basic Information

CIK	814453	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3089	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTICS PRODUCTS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NEWMARKET CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/ 8 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NEWMONT MINING CORP DE

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NGL Energy Partners LP

Basic Information

CIK	1504461	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	5172	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-PETROLEUM & PETROLEUM PRODUCTS (NO BULK STATIONS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NICE SYSTEMS LTD

Basic Information

CIK	1003935	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3571	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPUTERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NIDEC CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Nielsen Holdings plc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NIKE INC

Basic Information

CIK	320187	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3021	SIC Division	Manufacturing		
Division Code	D	Industry	RUBBER & PLASTICS FOOTWEAR		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Nimble Storage Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NIPPON TELEGRAPH TELEPHONE CORP

Basic Information

CIK	769594	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4813	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	TELEPHONE COMMUNICATIONS (NO RADIOTELEPHONE)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NL INDUSTRIES INC

Basic Information

CIK	72162	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2810	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INORGANIC CHEMICALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NN INC

Basic Information

CIK	918541	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3562	SIC Division	Manufacturing		
Division Code	D	Industry	BALL & ROLLER BEARINGS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NOBILITY HOMES INC

Basic Information

CIK	72205	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2451	SIC Division	Manufacturing		
Division Code	D	Industry	MOBILE HOMES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NOKIA CORP

Basic Information

CIK	924613	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NORDSON CORP

Basic Information

CIK	72331	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3569	SIC Division	Manufacturing		
Division Code	D	Industry	GENERAL INDUSTRIAL MACHINERY & EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NORDSTROM INC

Basic Information

CIK	72333	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5651	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-FAMILY CLOTHING STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NORFOLK SOUTHERN CORP

Basic Information

CIK	702165	Filing Date	31.05.2016	Link	URL SD
Primary SIC	4011	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	RAILROADS, LINE-HAUL OPERATING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/ 8 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Norsat International Inc

Basic Information

CIK	748213	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3679	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPONENTS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NORTECH SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



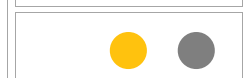
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NORTEK INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Northern Tier Energy LP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NORTHROP GRUMMAN CORP DE

Basic Information

CIK	1133421	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3812	SIC Division	Manufacturing		
Division Code	D	Industry	SEARCH, DETECTION, NAVAGATION, GUIDANCE, AERONAUTICAL SYS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NORTHWEST PIPE CO

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes

Basic Information

Division Code	D	Industry	OPTICAL INSTRUMENTS & LENSES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NOVANTA INC

Basic Information

CIK	1076930	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NOVARTIS AG

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NOVATEL WIRELESS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Novelis Inc

Basic Information

CIK	1304280	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3350	SIC Division	Manufacturing		
Division Code	D	Industry	ROLLING DRAWING & EXTRUDING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/ 7 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NOVO NORDISK A S

Basic Information

CIK	353278	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2834	SIC Division	Manufacturing		
Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NRG ENERGY INC

Basic Information

CIK	1013871	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4911	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	ELECTRIC SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NTT DOCOMO INC

Basic Information

CIK	1166141	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NU SKIN ENTERPRISES INC

Basic Information

CIK	1021561	Filing Date	13.05.2016	Link	URL SD
Primary SIC	5122	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-DRUGS, PROPRIETARIES & DRUGGISTS' SUNDRIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Nuance Communications Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



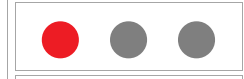
11. Products described?



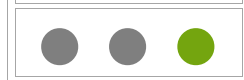
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NUCOR CORP

Basic Information

CIK	73309	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NUMEREX CORP PA

Basic Information

CIK	870753	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3669	SIC Division	Manufacturing		
Division Code	D	Industry	COMMUNICATIONS EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NUVASIVE INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☐ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NVE CORP NEW

Basic Information

CIK	724910	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

NVIDIA CORP

Division Code **D** **Industry** SEMICONDUCTORS & RELATED DEVICES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes

848



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NXP Semiconductors N V

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

NxStage Medical Inc

Basic Information

CIK	1333170	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

O2MICRO INTERNATIONAL LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OCEANEERING INTERNATIONAL INC

Basic Information

CIK	73756	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	1389	SIC Division	Mining		
Division Code	B	Industry	OIL & GAS FIELD SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OCLARO INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OIL STATES INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OLIN CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☐ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OMNICELL Inc

Basic Information

CIK	926326	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3571	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPUTERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ON SEMICONDUCTOR CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ON TRACK INNOVATIONS LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OPTICAL CABLE CORP

Basic Information

CIK	1000230	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3357	SIC Division	Manufacturing		
Division Code	D	Industry	DRAWING & INSULATING OF NONFERROUS WIRE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ORACLE CORP

Basic Information

CIK	1341439	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ORBCOMM Inc

Basic Information

CIK	1361983	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	4899	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	COMMUNICATIONS SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ORBITAL ATK INC

Basic Information

CIK	866121	Filing Date	01.06.2016	Link	URL SD URL CMR
Primary SIC	3760	SIC Division	Manufacturing		
Division Code	D	Industry	GUIDED MISSILES & SPACE VEHICLES & PARTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ORBOTECH LTD

Basic Information

CIK	749037	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ORION ENERGY SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ORIX CORP

Basic Information

CIK	1070304	Filing Date	31.05.2016	Link	URL SD
Primary SIC	6159	SIC Division	Finance, Insurance, And Real Estate		
Division Code	H	Industry	MISCELLANEOUS BUSINESS CREDIT INSTITUTION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3 / 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ORTHOFIX INTERNATIONAL N V

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OSHKOSH CORP

Basic Information

CIK	775158	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3711	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLES & PASSENGER CAR BODIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OSI SYSTEMS INC

Basic Information

CIK	1039065	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Otter Tail Corp

Basic Information

CIK	1466593	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4911	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	ELECTRIC SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OVERSTOCK COM INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



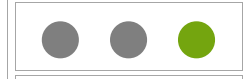
11. Products described?



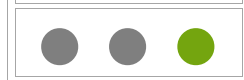
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No, Yellow circle: NA, Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Owens Corning

Basic Information

CIK	1370946	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3290	SIC Division	Manufacturing		
Division Code	D	Industry	ABRASIVE, ASBESTOS & MISC NONMETALLIC MINERAL PRODS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OWENS ILLINOIS INC DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

OXFORD INDUSTRIES INC

Basic Information

CIK	75288	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2320	SIC Division	Manufacturing		
Division Code	D	Industry	MEN'S & BOYS' FURNISHGS, WORK CLOTHG, & ALLIED GARMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PACCAR INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PACIFIC BIOSCIENCES OF CALIFORNIA INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PACIFIC SUNWEAR OF CALIFORNIA INC

Basic Information

CIK	874841	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5600	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-APPAREL & ACCESSORY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Palo Alto Networks Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



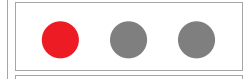
11. Products described?



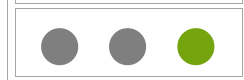
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PAR TECHNOLOGY CORP

Basic Information

CIK	708821	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3578	SIC Division	Manufacturing		
Division Code	D	Industry	CALCULATING & ACCOUNTING MACHINES (NO ELECTRONIC COMPUTERS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PARK OHIO HOLDINGS CORP

Basic Information

CIK	76282	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3460	SIC Division	Manufacturing		
Division Code	D	Industry	METAL FORGINGS & STAMPINGS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PARK OHIO INDUSTRIES INC OH

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PARKER DRILLING CO DE

Basic Information

CIK	76321	Filing Date	27.05.2016	Link	URL SD
Primary SIC	1381	SIC Division	Mining		
Division Code	B	Industry	DRILLING OIL & GAS WELLS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

☐	☒

2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

☐	☒

6. RCOI undertaken described?

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7. DD described?

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1. Policy?

☒	☐

2. Organizational structure?

☒	☐

3. Digital information-sharing systems?

☒	☐

4. Contracts?

☒	☐

6. Identified SOR(s) or upstream gaps?

☒	☐

7. Engaged with SOR(s) to obtain information?

☒	☐

8. Assessed SOR DD?

☒	☐

15. Annually reported on DD?

☒	☐

☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PARKER HANNIFIN CORP

Basic Information

CIK	76334	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3490	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS FABRICATED METAL PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Party City Holdco Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PATTERSON COMPANIES INC

Basic Information

CIK	891024	Filing Date	31.05.2016	Link	URL SD
Primary SIC	5047	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-MEDICAL, DENTAL & HOSPITAL EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 5 (100%)

OECD conformance indicators Score: 0/ 0 (#####)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

☐	☒

3. URL?

☐	☒

4. Conclusional statement?

☐	☒

5. Followed definitions?

☐	☒

6. RCOI undertaken described?

☐	☐

7. DD described?

☐	☐	☐

1. Policy?

☐	☐

2. Organizational structure?

☐	☐

3. Digital information-sharing systems?

☐	☐

4. Contracts?

☐	☐

6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☐ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PC TEL INC

Basic Information

CIK	1057083	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PDF SOLUTIONS INC

Basic Information

CIK	1120914	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7371	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROGRAMMING SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PENTAIR plc

Basic Information

CIK	77360	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3550	SIC Division	Manufacturing		
Division Code	D	Industry	SPECIAL INDUSTRY MACHINERY (NO METALWORKING MACHINERY)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PERCEPTRON INC MI

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PERKINELMER INC

Basic Information

CIK	31791	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3826	SIC Division	Manufacturing		
Division Code	D	Industry	LABORATORY ANALYTICAL INSTRUMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPISA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PERRIGO Co plc

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PERRY ELLIS INTERNATIONAL INC

Basic Information

CIK	900349	Filing Date	18.05.2016	Link	URL SD URL CMR
Primary SIC	2320	SIC Division	Manufacturing		
Division Code	D	Industry	MEN'S & BOYS' FURNISHGS, WORK CLOTHG, & ALLIED GARMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PFIZER INC

Basic Information

CIK	78003	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2834	SIC Division	Manufacturing		
Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPISA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Philip Morris International Inc

Basic Information

CIK	1413329	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2111	SIC Division	Manufacturing		
Division Code	D	Industry	CIGARETTES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PITNEY BOWES INC DE

Basic Information

CIK	78814	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3579	SIC Division	Manufacturing		
Division Code	D	Industry	OFFICE MACHINES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PIXELWORKS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PLANTRONICS INC CA

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Platform Specialty Products Corp

Basic Information

CIK	1590714	Filing Date	19.05.2016	Link	URL SD
Primary SIC	2890	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS CHEMICAL PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/ 8 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes

PLEXUS CORP

Division Code	D	Industry	PRINTED CIRCUIT BOARDS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PLY GEM HOLDINGS INC

Basic Information

CIK	1284807	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2430	SIC Division	Manufacturing		
Division Code	D	Industry	MILLWOOD, VENEER, PLYWOOD, & STRUCTURAL WOOD MEMBERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

POLARIS INDUSTRIES INC MN

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

POLYCOM INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

POLYONE CORP

Basic Information

CIK	1122976	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2821	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIALS, SYNTH RESINS & NONVULCAN ELASTOMERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

POOL CORP

Basic Information

CIK	945841	Filing Date	25.05.2016	Link	URL SD
Primary SIC	5090	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-MISC DURABLE GOODS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

☐	☒

5. Followed definitions?

☐	☒

6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

☒	☐

4. Contracts?

☒	☐

6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

POSCO

Basic Information

CIK	889132	Filing Date	25.05.2016	Link	URL SD
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

POWELL INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



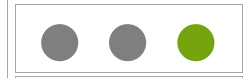
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?



POWER INTEGRATIONS INC

Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

POWER SOLUTIONS INTERNATIONAL INC

Basic Information

CIK	1137091	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3510	SIC Division	Manufacturing		
Division Code	D	Industry	ENGINES & TURBINES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PPG INDUSTRIES INC

Basic Information

CIK	79879	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2851	SIC Division	Manufacturing		
Division Code	D	Industry	PAINTS, VARNISHES, LACQUERS, ENAMELS & ALLIED PRODS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PRAXAIR INC

Basic Information

CIK	884905	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2810	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INORGANIC CHEMICALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No	NA	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PREFORMED LINE PRODUCTS CO

Basic Information

CIK	80035	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	1623	SIC Division	Construction		
Division Code	C	Industry	WATER, SEWER, PIPELINE, COMM & POWER LINE CONSTRUCTION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PRO DEX INC

Basic Information

CIK	788920	Filing Date	13.06.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PROCTER GAMBLE Co

Basic Information

CIK	80424	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2840	SIC Division	Manufacturing		
Division Code	D	Industry	SOAP, DETERGENTS, CLEANG PREPARATIONS, PERFUMES, COSMETICS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Protea Biosciences Group Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPISA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

PVH CORP DE

Basic Information

CIK	78239	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2320	SIC Division	Manufacturing		
Division Code	D	Industry	MEN'S & BOYS' FURNISHGS, WORK CLOTHG, & ALLIED GARMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QIAGEN NV

Basic Information

CIK	1015820	Filing Date	25.05.2016	Link	URL SD
Primary SIC	2836	SIC Division	Manufacturing		
Division Code	D	Industry	BIOLOGICAL PRODUCTS, (NO DISGNOSTIC SUBSTANCES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

☐	☒

3. URL?

☐	☒

4. Conclusional statement?

☐	☒

5. Followed definitions?

☐	☒

6. RCOI undertaken described?

☐	☒

7. DD described?

☐	☒	☐

1. Policy?

☒	☐

2. Organizational structure?

☒	☐

3. Digital information-sharing systems?

☐	☒

4. Contracts?

☒	☐

6. Identified SOR(s) or upstream gaps?

☒	☐

7. Engaged with SOR(s) to obtain information?

☒	☐

8. Assessed SOR DD?

☒	☐

15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QLOGIC CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Qorvo Inc

Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☒	☐	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☒	☐	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☒	☐	☐
10. Steps to improve DD?	☒	☐	☐
11. Products described?	☐	☒	☐
12. SOR facility(ies) listed?	☒	☐	☐
13. Country/ies of Origin disclosed?	☒	☐	☐
14. Efforts to determine mine?	☒	☐	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☒	☐

☒ Yes ☐ No ☐ NA



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Quad Graphics Inc

Basic Information

CIK	1481792	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2750	SIC Division	Manufacturing		
Division Code	D	Industry	COMMERCIAL PRINTING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QUALCOMM INC DE

Basic Information

CIK	804328	Filing Date	13.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QUALSTAR CORP

Basic Information

CIK	758938	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3695	SIC Division	Manufacturing		
Division Code	D	Industry	MAGNETIC & OPTICAL RECORDING MEDIA		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QUALYS INC

Basic Information

CIK	1107843	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Quanex Building Products CORP

Basic Information

CIK	1423221	Filing Date	26.05.2016	Link	URL SD
Primary SIC	3350	SIC Division	Manufacturing		
Division Code	D	Industry	ROLLING DRAWING & EXTRUDING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QUANTA SERVICES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QUANTUM CORP DE

Basic Information

CIK	709283	Filing Date	19.05.2016	Link	URL SD URL CMR
Primary SIC	3572	SIC Division	Manufacturing		
Division Code	D	Industry	COMPUTER STORAGE DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QUICKLOGIC CORPORATION

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QUIDEL CORP DE

Basic Information

CIK	353569	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2835	SIC Division	Manufacturing		
Division Code	D	Industry	IN VITRO & IN VIVO DIAGNOSTIC SUBSTANCES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

QVC INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

R F INDUSTRIES LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



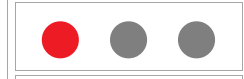
11. Products described?



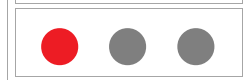
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RADA ELECTRONIC INDUSTRIES LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



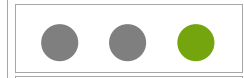
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RADISYS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RALPH LAUREN CORP

Basic Information

CIK	1037038	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2320	SIC Division	Manufacturing		
Division Code	D	Industry	MEN'S & BOYS' FURNISHGS, WORK CLOTHG, & ALLIED GARMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RAVEN INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



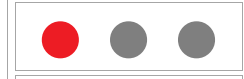
11. Products described?



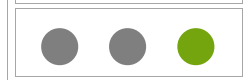
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RAYTHEON CO

Basic Information

CIK	1047122	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3812	SIC Division	Manufacturing		
Division Code	D	Industry	SEARCH, DETECTION, NAVAGATION, GUIDANCE, AERONAUTICAL SYS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RBC Bearings INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

REGAL BELOIT CORP

Basic Information

CIK	82811	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3621	SIC Division	Manufacturing		
Division Code	D	Industry	MOTORS & GENERATORS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

REGIS CORP

Basic Information

CIK	716643	Filing Date	23.05.2016	Link	URL SD
Primary SIC	7200	SIC Division	Services		
Division Code	I	Industry	SERVICES-PERSONAL SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RELiance STEEL ALUMINUM CO

Basic Information

CIK	861884	Filing Date	27.05.2016	Link	URL SD
Primary SIC	5051	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-METALS SERVICE CENTERS & OFFICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RELM WIRELESS CORP

Basic Information

CIK	2186	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ReneSola Ltd

Basic Information

CIK	1417892	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RESMED INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RESPONSE BIOMEDICAL CORP

Basic Information

CIK	806888	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	8734	SIC Division	Services		
Division Code	I	Industry	SERVICES-TESTING LABORATORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Restoration Hardware Holdings Inc

Basic Information

CIK	1528849	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5712	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-FURNITURE STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

Basic Information

Division Code	D	Industry	ELECTRIC LIGHTING & WIRING EQUIPMENT

Conflict Mineral Disclosure Assessment

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

- [illegible]

[illegible]



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Rexnord Corp

Basic Information

CIK	1439288	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3560	SIC Division	Manufacturing		
Division Code	D	Industry	GENERAL INDUSTRIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Reynolds Group Holdings Ltd

Basic Information

CIK	1527508	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2673	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTICS, FOIL & COATED PAPER BAGS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RICHARDSON ELECTRONICS LTD DE

Basic Information

CIK	355948	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5065	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-ELECTRONIC PARTS & EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RISK GEORGE INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ROCKWELL AUTOMATION INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ROCKWELL COLLINS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ROFIN SINAR TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ROGERS CORP

Basic Information

CIK	84748	Filing Date	27.05.2016	Link	URL SD
Primary SIC	2821	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIALS, SYNTH RESINS & NONVULCAN ELASTOMERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/ 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ROPER TECHNOLOGIES INC

Basic Information

CIK	882835	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ROSS STORES INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Royal Dutch Shell plc

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RPC INC

Basic Information

CIK	742278	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	1389	SIC Division	Mining		
Division Code	B	Industry	OIL & GAS FIELD SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RPM INTERNATIONAL INC DE

Basic Information

CIK	110621	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2851	SIC Division	Manufacturing		
Division Code	D	Industry	PAINTS, VARNISHES, LACQUERS, ENAMELS & ALLIED PRODS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RR Donnelley Sons Co

Basic Information

CIK	29669	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	2750	SIC Division	Manufacturing		
Division Code	D	Industry	COMMERCIAL PRINTING		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RTI SURGICAL INC

Basic Information

CIK	1100441	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes

RUCKUS WIRELESS INC

Division Code	D	Industry	COMPUTER PERIPHERAL EQUIPMENT, NEC

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

Question	Yes	No	NA
1. On time?	☒	☐	☐
2. Signed?	☒	☐	☐
3. URL?	☒	☐	☐
4. Conclusions statement?	☒	☐	☐
5. Followed definitions?	☒	☐	☐
6. RCOI separate?	☒	☐	☐
7. DD described?	☒	☐	☐
8. DD framework named?	☒	☐	☐
9. DD 5 steps?	☒	☐	☐
10. Steps to improve DD?	☒	☐	☐
11. Products described?	☒	☐	☐
12. SOR facility(ies) listed?	☒	☐	☐
13. Country/ies of Origin disclosed?	☒	☐	☐
14. Efforts to determine mine?	☒	☐	☐
15. If "DRC conflict free" explicit, IPSA?	☐	☒	☐

☒ Yes ☐ No ☐ NA



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RUDOLPH TECHNOLOGIES INC

Basic Information

CIK	1094392	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

RUSH ENTERPRISES INC TX

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐
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☐	☐
☐	☐
☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Ryerson Holding Corp

Basic Information

CIK	1481582	Filing Date	27.05.2016	Link	URL SD
Primary SIC	5051	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-METALS SERVICE CENTERS & OFFICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SANMINA CORP

Basic Information

CIK	897723	Filing Date	23.05.2016	Link	URL SD URL CMR
Primary SIC	3672	SIC Division	Manufacturing		
Division Code	D	Industry	PRINTED CIRCUIT BOARDS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Sanofi

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SASOL LTD

Basic Information

CIK	314590	Filing Date	31.05.2016	Link	URL SD
Primary SIC	1311	SIC Division	Mining		
Division Code	B	Industry	CRUDE PETROLEUM & NATURAL GAS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SCHLUMBERGER LTD NV

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SCHMITT INDUSTRIES INC

Basic Information

CIK	922612	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SCHNITZER STEEL INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SCI Engineered Materials Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Science Applications International Corp

Basic Information

CIK	1571123	Filing Date	27.05.2016	Link	URL SD
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SCIENTIFIC GAMES CORP

Basic Information

CIK	750004	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SCOTTS MIRACLE GRO CO

Basic Information

CIK	825542	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2870	SIC Division	Manufacturing		
Division Code	D	Industry	AGRICULTURAL CHEMICALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 2/ 6 (33%)

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SEACHANGE INTERNATIONAL INC

Basic Information

CIK	1019671	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SEALED AIR CORP DE

Basic Information

CIK	1012100	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2820	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTIC MATERIAL, SYNTH RESIN/RUBBER, CELLULOS (NO GLASS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SEARS CANADA INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SEARS HOLDINGS CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SeaSpine Holdings Corp

Basic Information

CIK	1637761	Filing Date	26.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SELECT COMFORT CORP

Basic Information

CIK	827187	Filing Date	01.06.2016	Link	URL SD URL CMR
Primary SIC	2510	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD FURNITURE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SEMICONDUCTOR MANUFACTURING INTERNATIONAL CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SemiLEDs Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

 No  NA  Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SEMTECH CORP

Basic Information

CIK	88941	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Seneca Foods Corp

Basic Information

CIK	88948	Filing Date	26.05.2016	Link	URL SD
Primary SIC	2033	SIC Division	Manufacturing		
Division Code	D	Industry	CANNED, FRUITS, VEG, PRESERVES, JAMS & JELLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Sensata Technologies Holding N V

Basic Information

CIK	1477294	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SENSIENT TECHNOLOGIES CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SEQUANS COMMUNICATIONS

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SERVOTRONICS INC DE

Basic Information

CIK	89140	Filing Date	26.05.2016	Link	URL SD
Primary SIC	3420	SIC Division	Manufacturing		
Division Code	D	Industry	CUTLERY, HANDTOOLS & GENERAL HARDWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SEVCON INC

Basic Information

CIK	825411	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3620	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRICAL INDUSTRIAL APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SHERWIN WILLIAMS CO

Basic Information

CIK	89800	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5200	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-BUILDING MATERIALS, HARDWARE, GARDEN SUPPLY		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SHILOH INDUSTRIES INC

Basic Information

CIK	904979	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3460	SIC Division	Manufacturing		
Division Code	D	Industry	METAL FORGINGS & STAMPINGS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ShoreTel Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SIERRA MONITOR CORP CA

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SIERRA WIRELESS INC

Basic Information

CIK	1111863	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SIGMA DESIGNS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SIGMATRON INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SIGNET JEWELERS LTD

Basic Information

CIK	832988	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5944	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-JEWELRY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/ 9 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/16 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SILGAN HOLDINGS INC

Basic Information

CIK	849869	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3411	SIC Division	Manufacturing		
Division Code	D	Industry	METAL CANS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SILICOM LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Silicon Graphics International Corp

Basic Information

CIK	1316625	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3571	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPUTERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SILICON LABORATORIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



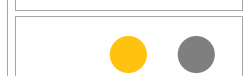
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Silicon Motion Technology CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SILICONWARE PRECISION INDUSTRIES CO LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/ 9 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/16 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☒ No ☒ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SILVER SPRING NETWORKS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



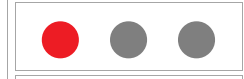
11. Products described?



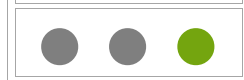
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SIMPSON MANUFACTURING CO INC CA

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SK TELECOM CO LTD

Basic Information

CIK	1015650	Filing Date	31.05.2016	Link	URL SD
Primary SIC	4812	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	RADIOTELEPHONE COMMUNICATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SKECHERS USA INC

Basic Information

CIK	1065837	Filing Date	15.06.2016	Link	URL SD
Primary SIC	3140	SIC Division	Manufacturing		
Division Code	D	Industry	FOOTWEAR, (NO RUBBER)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SKYLINE CORP

Basic Information

CIK	90896	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2451	SIC Division	Manufacturing		
Division Code	D	Industry	MOBILE HOMES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 3/14 (21%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Skyline Medical Inc

Basic Information

CIK	1446159	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SKYWORKS SOLUTIONS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/ 9 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/16 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SL INDUSTRIES INC

Basic Information

CIK	89270	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3679	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPONENTS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SMART Technologies Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/ 9 (78%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/16 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SMITH A O CORP

Basic Information

CIK	91142	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3630	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD APPLIANCES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SMITH NEPHEW PLC

Basic Information

CIK	845982	Filing Date	09.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/ 9 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/16 (94%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SMITH WESSON HOLDING CORP

Basic Information

CIK	1092796	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3480	SIC Division	Manufacturing		
Division Code	D	Industry	ORDNANCE & ACCESSORIES, (NO VEHICLES/GUIDED MISSILES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SMTC CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SNAP ON Inc

Basic Information

CIK	91440	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3420	SIC Division	Manufacturing		
Division Code	D	Industry	CUTLERY, HANDTOOLS & GENERAL HARDWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SodaStream International Ltd

Basic Information

CIK	1502916	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3630	SIC Division	Manufacturing		
Division Code	D	Industry	HOUSEHOLD APPLIANCES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SolarEdge Technologies Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☒
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☐	☒

☒ No ☐ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SOLITRON DEVICES INC

Basic Information

CIK	91668	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SONIC FOUNDRY INC

Basic Information

CIK	1029744	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SONO TEK CORP

Basic Information

CIK	806172	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SONOCO PRODUCTS CO

Basic Information

CIK	91767	Filing Date	23.05.2016	Link	URL SD
Primary SIC	2650	SIC Division	Manufacturing		
Division Code	D	Industry	PAPERBOARD CONTAINERS & BOXES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4 / 8 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SONUS NETWORKS INC

Basic Information

CIK	1105472	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SONY CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SPARTAN MOTORS INC

Basic Information

CIK	743238	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3711	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLES & PASSENGER CAR BODIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SPARTON CORP

Basic Information

CIK	92679	Filing Date	19.05.2016	Link	URL SD URL CMR
Primary SIC	3672	SIC Division	Manufacturing		
Division Code	D	Industry	PRINTED CIRCUIT BOARDS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SPECTRANETICS CORP

Basic Information

CIK	789132	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Spectrum Brands Holdings Inc

Basic Information

CIK	1487730	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SPEEDWAY MOTORSPORTS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Sphere 3D Corp

Basic Information

CIK	1591956	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	7374	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROCESSING & DATA PREPARATION		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Spirit AeroSystems Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SPX CORP

Basic Information

CIK	88205	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3540	SIC Division	Manufacturing		
Division Code	D	Industry	METALWORKG MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SPX FLOW Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ST JUDE MEDICAL INC

Basic Information

CIK	203077	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STAMPS COM INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STANDARD MOTOR PRODUCTS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle No Yellow circle NA Green circle Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STANDEX INTERNATIONAL CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STAPLES INC

Basic Information

CIK	791519	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5940	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-MISCELLANEOUS SHOPPING GOODS STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STARBUCKS CORP

Basic Information

CIK	829224	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5810	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-EATING & DRINKING PLACES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STARRETT L S CO

Basic Information

CIK	93676	Filing Date	18.07.2016	Link	URL SD URL CMR
Primary SIC	3420	SIC Division	Manufacturing		
Division Code	D	Industry	CUTLERY, HANDTOOLS & GENERAL HARDWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STEEL DYNAMICS INC

Basic Information

CIK	1022671	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 9 (56%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STEEL PARTNERS HOLDINGS L P

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?



Basic Information

Division Code	D	Industry	OFFICE FURNITURE (NO WOOD)

Conflict Mineral Disclosure Assessment

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

- [illegible]

- [illegible]



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STEIN MART INC

Basic Information

CIK	884940	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5651	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-FAMILY CLOTHING STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STEPAN CO

Basic Information

CIK	94049	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2840	SIC Division	Manufacturing		
Division Code	D	Industry	SOAP, DETERGENTS, CLEANG PREPARATIONS, PERFUMES, COSMETICS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

☐	☒

2. Signed?

☐	☒

3. URL?

☐	☒

4. Conclusional statement?

☐	☒

5. Followed definitions?

☐	☒

6. RCOI undertaken described?

☐	☒

7. DD described?

☐	☒	☐

1. Policy?

☒	☐

2. Organizational structure?

☒	☐

3. Digital information-sharing systems?

☒	☐

4. Contracts?

☒	☐

6. Identified SOR(s) or upstream gaps?

☒	☐

7. Engaged with SOR(s) to obtain information?

☒	☐

8. Assessed SOR DD?

☒	☐

15. Annually reported on DD?

☒	☐

☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Stereotaxis Inc

Basic Information

CIK	1289340	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Steris plc

Basic Information

CIK	1624899	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3842	SIC Division	Manufacturing		
Division Code	D	Industry	ORTHOPEDIC, PROSTHETIC & SURGICAL APPLIANCES & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STEVEN MADDEN LTD

Basic Information

CIK	913241	Filing Date	25.05.2016	Link	URL SD
Primary SIC	3140	SIC Division	Manufacturing		
Division Code	D	Industry	FOOTWEAR, (NO RUBBER)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STMICROELECTRONICS NV

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐
☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STONERIDGE INC

Basic Information

CIK	1043337	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STRATASYS LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STRATTEC SECURITY CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/16 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



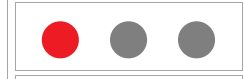
11. Products described?



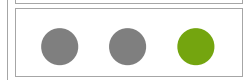
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STRYKER CORP

Basic Information

CIK	310764	Filing Date	28.06.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

STURM RUGER CO INC

Basic Information

CIK	95029	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3480	SIC Division	Manufacturing		
Division Code	D	Industry	ORDNANCE & ACCESSORIES, (NO VEHICLES/GUIDED MISSILES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SUN HYDRAULICS CORP

Basic Information

CIK	1024795	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3490	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS FABRICATED METAL PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SUNEDISON INC

Basic Information

CIK	945436	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3674	SIC Division	Manufacturing		
Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SUNPOWER CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



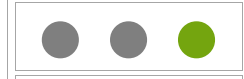
11. Products described?



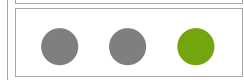
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Sunshine Heart Inc

Basic Information

CIK	1506492	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Super Micro Computer Inc

Basic Information

CIK	1375365	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3571	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPUTERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SUPERIOR ENERGY SERVICES INC

Basic Information

CIK	886835	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	1389	SIC Division	Mining		
Division Code	B	Industry	OIL & GAS FIELD SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SUPERIOR UNIFORM GROUP INC

Basic Information

CIK	95574	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2300	SIC Division	Manufacturing		
Division Code	D	Industry	APPAREL & OTHER FINISHD PRODS OF FABRICS & SIMILAR MATL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SUPREME INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SYMANTEC CORP

Basic Information

CIK	849399	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SYNAPTICS INC

Basic Information

CIK	817720	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	7371	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER PROGRAMMING SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Syneron Medical Ltd

Basic Information

CIK	1291361	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3845	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTROMEDICAL & ELECTROTHERAPEUTIC APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SYNGENTA AG

Basic Information

CIK	1123661	Filing Date	25.05.2016	Link	URL SD
Primary SIC	2870	SIC Division	Manufacturing		
Division Code	D	Industry	AGRICULTURAL CHEMICALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/ 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SYNNEX CORP

Basic Information

CIK	1177394	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5045	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-COMPUTERS & PERIPHERAL EQUIPMENT & SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SYNOPSYS INC

Basic Information

CIK	883241	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7372	SIC Division	Services		
Division Code	I	Industry	SERVICES-PREPACKAGED SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SYPRIS SOLUTIONS INC

Basic Information

CIK	864240	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	3823	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INSTRUMENTS FOR MEASUREMENT, DISPLAY, AND CONTROL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

SYSTEMAX INC

Basic Information

CIK	945114	Filing Date	31.05.2016	Link	URL SD
Primary SIC	5961	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-CATALOG & MAIL-ORDER HOUSES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TAILORED BRANDS INC

Basic Information

CIK	884217	Filing Date	31.05.2016	Link	URL SD
Primary SIC	5600	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-APPAREL & ACCESSORY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

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6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

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8. Assessed SOR DD?

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15. Annually reported on DD?

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☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TAIWAN SEMICONDUCTOR MANUFACTURING CO LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TALON INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TANDEM DIABETES CARE INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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TARGET CORP

Division Code	G	Industry	RETAIL-VARIETY STORES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TASER INTERNATIONAL INC

Basic Information

CIK	1069183	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3480	SIC Division	Manufacturing		
Division Code	D	Industry	ORDNANCE & ACCESSORIES, (NO VEHICLES/GUIDED MISSILES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TAT TECHNOLOGIES LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TATA MOTORS LTD FI

Basic Information

CIK	926042	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3711	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLES & PASSENGER CAR BODIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TE Connectivity Ltd

Basic Information

CIK	1385157	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5065	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-ELECTRONIC PARTS & EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TEAM INC

Basic Information

CIK	318833	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7600	SIC Division	Services		
Division Code	I	Industry	SERVICES-MISCELLANEOUS REPAIR SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TearLab Corp

Basic Information

CIK	1299139	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TECH DATA CORP

Basic Information

CIK	790703	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5045	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-COMPUTERS & PERIPHERAL EQUIPMENT & SOFTWARE		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TECHNICAL COMMUNICATIONS CORP

Basic Information

CIK	96699	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TECK RESOURCES LTD

Basic Information

CIK	886986	Filing Date	31.05.2016	Link	URL SD
Primary SIC	1400	SIC Division	Mining		
Division Code	B	Industry	MINING & QUARRYING OF NONMETALLIC MINERALS (NO FUELS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TELEDYNE TECHNOLOGIES INC

Basic Information

CIK	1094285	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3812	SIC Division	Manufacturing		
Division Code	D	Industry	SEARCH, DETECTION, NAVAGATION, GUIDANCE, AERONAUTICAL SYS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TELEFLEX INC

Basic Information

CIK	96943	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 10/15 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TELKONET INC

Basic Information

CIK	1094084	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3822	SIC Division	Manufacturing		
Division Code	D	Industry	AUTO CONTROLS FOR REGULATING RESIDENTIAL & COMML ENVIRONMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TENARIS SA

Basic Information

CIK	1190723	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TENNANT CO

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



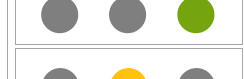
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TENNECO INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TERADATA CORP DE

Basic Information

CIK	816761	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3571	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPUTERS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TERADYNE INC

Basic Information

CIK	97210	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TEREX CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Ternium S A

Basic Information

CIK	1342874	Filing Date	26.05.2016	Link	URL SD
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TESCO CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TESLA MOTORS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TESSCO TECHNOLOGIES INC

Basic Information

CIK	927355	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5065	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-ELECTRONIC PARTS & EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TETRA TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TEVA PHARMACEUTICAL INDUSTRIES LTD

Basic Information

CIK	818686	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2834	SIC Division	Manufacturing		
Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TEXAS INSTRUMENTS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/ 9 (78%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 10/16 (63%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TEXTRON INC

Basic Information

CIK	217346	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3720	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT & PARTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

THERMO FISHER SCIENTIFIC INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Thermon Group Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

THOR INDUSTRIES INC

Basic Information

CIK	730263	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3716	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR HOMES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TIFFANY CO

Basic Information

CIK	98246	Filing Date	08.06.2016	Link	URL SD URL CMR
Primary SIC	5944	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-JEWELRY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TILLY S INC

Basic Information

CIK	1524025	Filing Date	31.05.2016	Link	URL SD
Primary SIC	5600	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-APPAREL & ACCESSORY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TIMKEN CO

Basic Information

CIK	98362	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3562	SIC Division	Manufacturing		
Division Code	D	Industry	BALL & ROLLER BEARINGS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TIVO INC

Basic Information

CIK	1088825	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	4841	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	CABLE & OTHER PAY TELEVISION SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TJX COMPANIES INC DE

Basic Information

CIK	109198	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5651	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-FAMILY CLOTHING STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TORO CO

Basic Information

CIK	737758	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3524	SIC Division	Manufacturing		
Division Code	D	Industry	LAWN & GARDEN TRACTORS & HOME LAWN & GARDENS EQUIP		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TOROTEL INC

Basic Information

CIK	98752	Filing Date	15.06.2016	Link	URL SD
Primary SIC	3677	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COILS, TRANSFORMERS & OTHER INDUCTORS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 4/ 6 (67%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TOTAL S A

Basic Information

CIK	879764	Filing Date	31.05.2016	Link	URL SD
Primary SIC	1311	SIC Division	Mining		
Division Code	B	Industry	CRUDE PETROLEUM & NATURAL GAS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TOTAL SYSTEM SERVICES INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Tower International Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TOWER SEMICONDUCTOR LTD

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TOYOTA MOTOR CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TRACTOR SUPPLY CO DE

Basic Information

CIK	916365	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5200	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-BUILDING MATERIALS, HARDWARE, GARDEN SUPPLY		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TRANSACT TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



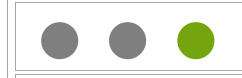
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TransDigm Group INC

Basic Information

CIK	1260221	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3728	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT PARTS & AUXILIARY EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

TRIMAS CORP

Division Code D **Industry** METAL FORGINGS & STAMPINGS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes

TRIMBLE NAVIGATION LTD CA

Division Code	D	Industry	MEASURING & CONTROLLING DEVICES, NEC

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes

Trina Solar LTD

Division Code	D	Industry	SEMICONDUCTORS & RELATED DEVICES

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TRINITY INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TRIUMPH GROUP INC

Basic Information

CIK	1021162	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3720	SIC Division	Manufacturing		
Division Code	D	Industry	AIRCRAFT & PARTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TTM TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TURKCELL ILETISIM HIZMETLERI A S

Basic Information

CIK	1071321	Filing Date	31.05.2016	Link	URL SD
Primary SIC	4813	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	TELEPHONE COMMUNICATIONS (NO RADIOTELEPHONE)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Turtle Beach Corp

Basic Information

CIK	1493761	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3669	SIC Division	Manufacturing		
Division Code	D	Industry	COMMUNICATIONS EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TWIN DISC INC

Basic Information

CIK	100378	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3560	SIC Division	Manufacturing		
Division Code	D	Industry	GENERAL INDUSTRIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

TYCO INTERNATIONAL plc

Basic Information

CIK	833444	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7380	SIC Division	Services		
Division Code	I	Industry	SERVICES-MISCELLANEOUS BUSINESS SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Ubiquiti Networks Inc

Basic Information

CIK	1511737	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UFP TECHNOLOGIES INC

Basic Information

CIK	914156	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3086	SIC Division	Manufacturing		
Division Code	D	Industry	PLASTICS FOAM PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ULTRA CLEAN HOLDINGS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ULTRALIFE CORP

Basic Information

CIK	875657	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3690	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS ELECTRICAL MACHINERY, EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ULTRATECH INC

Basic Information

CIK	909791	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3559	SIC Division	Manufacturing		
Division Code	D	Industry	SPECIAL INDUSTRY MACHINERY, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Under Armour Inc

Basic Information

CIK	1336917	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2300	SIC Division	Manufacturing		
Division Code	D	Industry	APPAREL & OTHER FINISHD PRODS OF FABRICS & SIMILAR MATL		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNIFI INC

Basic Information

CIK	100726	Filing Date	09.06.2016	Link	URL SD
Primary SIC	2200	SIC Division	Manufacturing		
Division Code	D	Industry	TEXTILE MILL PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNIFIRST CORP

Basic Information

CIK	717954	Filing Date	31.05.2016	Link	URL SD
Primary SIC	7200	SIC Division	Services		
Division Code	I	Industry	SERVICES-PERSONAL SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNILEVER N V

Basic Information

CIK	110390	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2840	SIC Division	Manufacturing		
Division Code	D	Industry	SOAP, DETERGENTS, CLEANG PREPARATIONS, PERFUMES, COSMETICS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNILEVER PLC

Basic Information

CIK	217410	Filing Date	31.05.2016	Link	URL SD
Primary SIC	2840	SIC Division	Manufacturing		
Division Code	D	Industry	SOAP, DETERGENTS, CLEANG PREPARATIONS, PERFUMES, COSMETICS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

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6. RCOI undertaken described?

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7. DD described?

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1. Policy?

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2. Organizational structure?

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3. Digital information-sharing systems?

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4. Contracts?

☒	☐

6. Identified SOR(s) or upstream gaps?

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7. Engaged with SOR(s) to obtain information?

☒	☐

8. Assessed SOR DD?

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15. Annually reported on DD?

☒	☐

☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Unilife Corp

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNISYS CORP

Basic Information

CIK	746838	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7373	SIC Division	Services		
Division Code	I	Industry	SERVICES-COMPUTER INTEGRATED SYSTEMS DESIGN		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
No NA Yes		

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNITED MICROELECTRONICS CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3 / 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNITED RENTALS INC DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNITED STATES STEEL CORP

Basic Information

CIK	1163302	Filing Date	27.05.2016	Link	URL SD
Primary SIC	3312	SIC Division	Manufacturing		
Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING MILLS (COKE OVENS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNITED TECHNOLOGIES CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNITED THERAPEUTICS Corp

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNIVERSAL BIOSENSORS INC

Basic Information

CIK	1279695	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

OECD conformance indicators Score: 4/ 8 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNIVERSAL ELECTRONICS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☒
☐	☒

☒ No ☐ NA ☒ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNIVERSAL FOREST PRODUCTS INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UNIVERSAL STAINLESS ALLOY PRODUCTS INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

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2. Signed?

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3. URL?

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4. Conclusional statement?

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5. Followed definitions?

☐ ☒

6. RCOI undertaken described?

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7. DD described?

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1. Policy?

☐ ☒

2. Organizational structure?

☒ ☐

3. Digital information-sharing systems?

☒ ☐

4. Contracts?

☒ ☐

6. Identified SOR(s) or upstream gaps?

☒ ☐

7. Engaged with SOR(s) to obtain information?

☒ ☐

8. Assessed SOR DD?

☒ ☐

15. Annually reported on DD?

☒ ☐

☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UQM TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



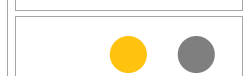
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

URBAN OUTFITTERS INC

Basic Information

CIK	912615	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5651	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-FAMILY CLOTHING STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

USA TECHNOLOGIES INC

Basic Information

CIK	896429	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3578	SIC Division	Manufacturing		
Division Code	D	Industry	CALCULATING & ACCOUNTING MACHINES (NO ELECTRONIC COMPUTERS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No

NA

Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

USG CORP

Basic Information

CIK	757011	Filing Date	06.05.2016	Link	URL SD
Primary SIC	3270	SIC Division	Manufacturing		
Division Code	D	Industry	CONCRETE, GYPSUM & PLASTER PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

☐	☒

2. Signed?

☐	☒

3. URL?

☐	☒

4. Conclusional statement?

☐	☒

5. Followed definitions?

☐	☒

6. RCOI undertaken described?

☐	☒

7. DD described?

☐	☒	☐

1. Policy?

☒	☐

2. Organizational structure?

☒	☐

3. Digital information-sharing systems?

☒	☐

4. Contracts?

☒	☐

6. Identified SOR(s) or upstream gaps?

☒	☐

7. Engaged with SOR(s) to obtain information?

☒	☐

8. Assessed SOR DD?

☒	☐

15. Annually reported on DD?

☒	☐

☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

UTAH MEDICAL PRODUCTS INC

Basic Information

CIK	706698	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3841	SIC Division	Manufacturing		
Division Code	D	Industry	SURGICAL & MEDICAL INSTRUMENTS & APPARATUS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

V F CORP

Basic Information

CIK	103379	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	2320	SIC Division	Manufacturing		
Division Code	D	Industry	MEN'S & BOYS' FURNISHGS, WORK CLOTHG, & ALLIED GARMENTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Valeant Pharmaceuticals International Inc

Basic Information

CIK	885590	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2834	SIC Division	Manufacturing		
Division Code	D	Industry	PHARMACEUTICAL PREPARATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VALHI INC DE

Basic Information

CIK	59255	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	2810	SIC Division	Manufacturing		
Division Code	D	Industry	INDUSTRIAL INORGANIC CHEMICALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VALMONT INDUSTRIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VARIAN MEDICAL SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VASCO DATA SECURITY INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

☐ ☒

2. Signed?

☐ ☒

3. URL?

☐ ☒

4. Conclusional statement?

☐ ☒

5. Followed definitions?

☐ ☒

6. RCOI undertaken described?

☐ ☒

7. DD described?

☐ ☒ ☐

1. Policy?

☒ ☐

2. Organizational structure?

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3. Digital information-sharing systems?

☐ ☒

4. Contracts?

☒ ☐

6. Identified SOR(s) or upstream gaps?

☒ ☐

7. Engaged with SOR(s) to obtain information?

☒ ☐

8. Assessed SOR DD?

☒ ☐

15. Annually reported on DD?

☒ ☐

☒ No ☒ NA ☒ Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VASCULAR SOLUTIONS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/14 (36%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VCA INC

Basic Information

CIK	817366	Filing Date	20.05.2016	Link	URL SD URL CMR
Primary SIC	0700	SIC Division	Agriculture, Forestry, And Fishing		
Division Code	A	Industry	AGRICULTURAL SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Vedanta Ltd

Basic Information

CIK	1370431	Filing Date	31.05.2016	Link	URL SD
Primary SIC	3330	SIC Division	Manufacturing		
Division Code	D	Industry	PRIMARY SMELTING & REFINING OF NONFERROUS METALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VEECO INSTRUMENTS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

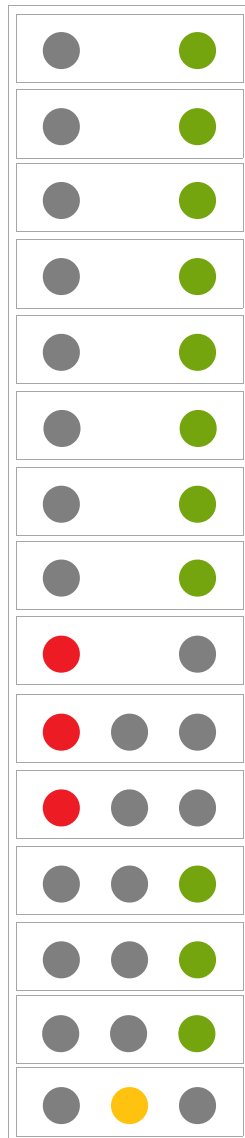
SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

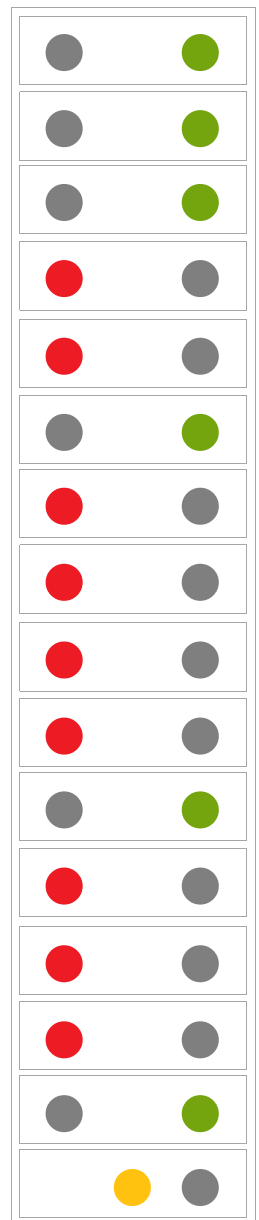
For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Vera Bradley Inc

Basic Information

CIK	1495320	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3100	SIC Division	Manufacturing		
Division Code	D	Industry	LEATHER & LEATHER PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VERIFONE SYSTEMS INC

Basic Information

CIK	1312073	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3578	SIC Division	Manufacturing		
Division Code	D	Industry	CALCULATING & ACCOUNTING MACHINES (NO ELECTRONIC COMPUTERS)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VERINT SYSTEMS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



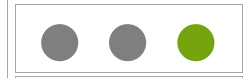
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VERIZON COMMUNICATIONS INC

Basic Information

CIK	732712	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4813	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	TELEPHONE COMMUNICATIONS (NO RADIOTELEPHONE)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VIASAT INC

Basic Information

CIK	797721	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3663	SIC Division	Manufacturing		
Division Code	D	Industry	RADIO & TV BROADCASTING & COMMUNICATIONS EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VIAVI SOLUTIONS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

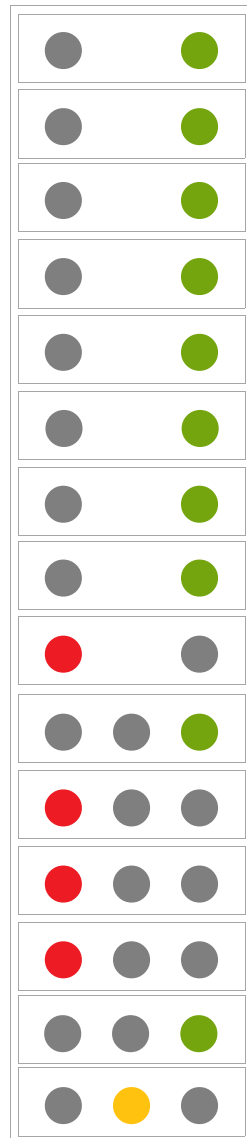
SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

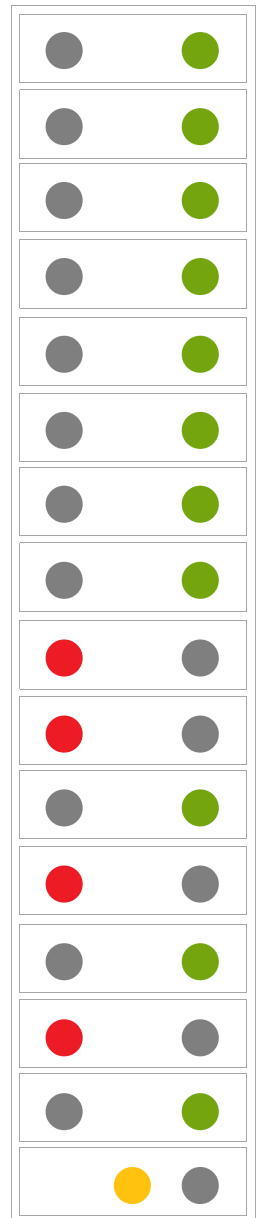
For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VICON INDUSTRIES INC NY

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VICOR CORP

Basic Information

CIK	751978	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3679	SIC Division	Manufacturing		
Division Code	D	Industry	ELECTRONIC COMPONENTS, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VINCE HOLDING CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VISHAY INTERTECHNOLOGY INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



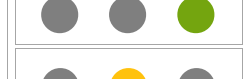
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



Red circle: No Yellow circle: NA Green circle: Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Vishay Precision Group Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



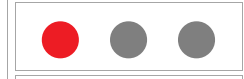
11. Products described?



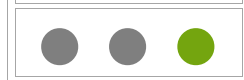
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Vista Outdoor Inc

Basic Information

CIK	1616318	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3480	SIC Division	Manufacturing		
Division Code	D	Industry	ORDNANCE & ACCESSORIES, (NO VEHICLES/GUIDED MISSILES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VISTEON CORP

Basic Information

CIK	1111335	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	3714	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR VEHICLE PARTS & ACCESSORIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VOCERA COMMUNICATIONS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VODAFONE GROUP PUBLIC LTD CO

Basic Information

CIK	839923	Filing Date	24.05.2016	Link	URL SD URL CMR
Primary SIC	4812	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	RADIOTELEPHONE COMMUNICATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 13/15 (87%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VOXX International Corp

Basic Information

CIK	807707	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5065	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-ELECTRONIC PARTS & EQUIPMENT, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPISA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

VWR Corp

Basic Information

CIK	1412232	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5040	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-PROFESSIONAL & COMMERCIAL EQUIPMENT & SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?	
2. Organizational structure?	
3. Digital information-sharing systems?	
4. Contracts?	
5. Grievance mechanism?	
6. Identified SOR(s) or upstream gaps?	
7. Engaged with SOR(s) to obtain information?	
8. Assessed SOR DD?	
9. Spot checks and/or audits of SOR(s)?	
10. Briefed senior management?	
11. Implemented risk management plan?	
12. Exercised leverage over upstream suppliers?	
13. Monitored SOR improvement?	
14. Supported SOR DD audits?	
15. Annually reported on DD?	
16. Conducted and published audit report(s) of DD?	

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

W R GRACE CO

Basic Information

CIK	1045309	Filing Date	26.05.2016	Link	URL SD URL CMR
Primary SIC	2800	SIC Division	Manufacturing		
Division Code	D	Industry	CHEMICALS & ALLIED PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WABASH NATIONAL CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WABCO Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WAL MART STORES INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/ 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WALT DISNEY CO

Basic Information

CIK	1001039	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	4841	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	CABLE & OTHER PAY TELEVISION SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WATERS CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 4/14 (29%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WATTS WATER TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Weatherford International plc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WEC ENERGY GROUP INC

Basic Information

CIK	783325	Filing Date	25.05.2016	Link	URL SD URL CMR
Primary SIC	4931	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	ELECTRIC & OTHER SERVICES COMBINED		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WEIGHT WATCHERS INTERNATIONAL INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Wesco Aircraft Holdings Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WESCO INTERNATIONAL INC

Basic Information

CIK	929008	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	5063	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-ELECTRICAL APPARATUS & EQUIPMENT, WIRING SUPPLIES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 9/14 (64%)

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusions statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WEST CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/15 (7%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WEST MARINE INC

Basic Information

CIK	912833	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5500	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-AUTO DEALERS & GASOLINE STATIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 11/15 (73%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
			16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WEST PHARMACEUTICAL SERVICES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WESTELL TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



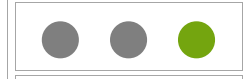
11. Products described?



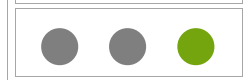
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WESTERN DIGITAL CORP

Basic Information

CIK	106040	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3572	SIC Division	Manufacturing		
Division Code	D	Industry	COMPUTER STORAGE DEVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Western Refining Inc

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WESTINGHOUSE AIR BRAKE TECHNOLOGIES CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusions statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WESTLAKE CHEMICAL CORP

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WESTPORT INNOVATIONS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/14 (50%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WestRock Co

Basic Information

CIK	1636023	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2650	SIC Division	Manufacturing		
Division Code	D	Industry	PAPERBOARD CONTAINERS & BOXES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 7/15 (47%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WEYCO GROUP INC

Basic Information

CIK	106532	Filing Date	23.05.2016	Link	URL SD
Primary SIC	5130	SIC Division	Wholesale Trade		
Division Code	F	Industry	WHOLESALE-APPAREL, PIECE GOODS & NOTIONS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5/ 6 (83%)

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WHIRLPOOL CORP DE

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 12/15 (80%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Willbros Group Inc NEW

Basic Information

CIK	1449732	Filing Date	26.05.2016	Link	URL SD
Primary SIC	1389	SIC Division	Mining		
Division Code	B	Industry	OIL & GAS FIELD SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/ 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WILLIAMS SONOMA INC

Basic Information

CIK	719955	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	5700	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-HOME FURNITURE, FURNISHINGS & EQUIPMENT STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WINDSTREAM SERVICES LLC

Basic Information

CIK	1585644	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	4813	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	TELEPHONE COMMUNICATIONS (NO RADIOTELEPHONE)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes		



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WINDTREE THERAPEUTICS INC DE

Basic Information

CIK	946486	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	2836	SIC Division	Manufacturing		
Division Code	D	Industry	BIOLOGICAL PRODUCTS, (NO DISGNOSTIC SUBSTANCES)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 4/14 (29%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WINNEBAGO INDUSTRIES INC

Basic Information

CIK	107687	Filing Date	27.05.2016	Link	URL SD URL CMR
Primary SIC	3716	SIC Division	Manufacturing		
Division Code	D	Industry	MOTOR HOMES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

- On time?
- Signed?
- URL?
- Conclusional statement?
- Followed definitions?
- RCOI separate?
- DD described?
- DD framework named?
- DD 5 steps?
- Steps to improve DD?
- Products described?
- SOR facility(ies) listed?
- Country/ies of Origin disclosed?
- Efforts to determine mine?
- If "DRC conflict free" explicit, IPSA?

No NA Yes

- Policy?
- Organizational structure?
- Digital information-sharing systems?
- Contracts?
- Grievance mechanism?
- Identified SOR(s) or upstream gaps?
- Engaged with SOR(s) to obtain information?
- Assessed SOR DD?
- Spot checks and/or audits of SOR(s)?
- Briefed senior management?
- Implemented risk management plan?
- Exercised leverage over upstream suppliers?
- Monitored SOR improvement?
- Supported SOR DD audits?
- Annually reported on DD?
- Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WireCo WorldGroup Inc

Basic Information

CIK	1522182	Filing Date	25.05.2016	Link	URL SD
Primary SIC	3490	SIC Division	Manufacturing		
Division Code	D	Industry	MISCELLANEOUS FABRICATED METAL PRODUCTS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/ 8 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WOLVERINE WORLD WIDE INC DE

Basic Information

CIK	110471	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3140	SIC Division	Manufacturing		
Division Code	D	Industry	FOOTWEAR, (NO RUBBER)		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusionsal statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

No NA Yes

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Woodward Inc

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 14/14 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 14/15 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



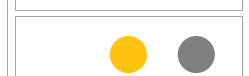
14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WORLD WRESTLING ENTERTAINMENT INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 8/14 (57%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
	No	NA Yes
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

WORTHINGTON INDUSTRIES INC

Division Code	D	Industry	STEEL WORKS, BLAST FURNACES & ROLLING & FINISHING MILLS

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

WSI INDUSTRIES INC

Basic Information

CIK	104897	Filing Date	19.05.2016	Link	URL SD URL CMR
Primary SIC	3540	SIC Division	Manufacturing		
Division Code	D	Industry	METALWORKG MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 7/ 9 (78%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Xcerra Corp

Basic Information

CIK	357020	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3825	SIC Division	Manufacturing		
Division Code	D	Industry	INSTRUMENTS FOR MEAS & TESTING OF ELECTRICITY & ELEC SIGNALS		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 11/14 (79%)

OECD conformance indicators Score: 6/15 (40%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?			1. Policy?		
2. Signed?			2. Organizational structure?		
3. URL?			3. Digital information-sharing systems?		
4. Conclusional statement?			4. Contracts?		
5. Followed definitions?			5. Grievance mechanism?		
6. RCOI separate?			6. Identified SOR(s) or upstream gaps?		
7. DD described?			7. Engaged with SOR(s) to obtain information?		
8. DD framework named?			8. Assessed SOR DD?		
9. DD 5 steps?			9. Spot checks and/or audits of SOR(s)?		
10. Steps to improve DD?			10. Briefed senior management?		
11. Products described?			11. Implemented risk management plan?		
12. SOR facility(ies) listed?			12. Exercised leverage over upstream suppliers?		
13. Country/ies of Origin disclosed?			13. Monitored SOR improvement?		
14. Efforts to determine mine?			14. Supported SOR DD audits?		
15. If "DRC conflict free" explicit, IPSA?			15. Annually reported on DD?		
	No	NA	Yes	16. Conducted and published audit report(s) of DD?	



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

XERIUM TECHNOLOGIES INC

Basic Information

CIK	1287151	Filing Date	27.05.2016	Link	URL SD
Primary SIC	2221	SIC Division	Manufacturing		
Division Code	D	Industry	BROADWOVEN FABRIC MILLS, MAN MADE FIBER & SILK		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1 / 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

XEROX CORP

Basic Information

CIK	108772	Filing Date	18.05.2016	Link	URL SD URL CMR
Primary SIC	7389	SIC Division	Services		
Division Code	I	Industry	SERVICES-BUSINESS SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 15/15 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

XILINX INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 4/15 (27%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

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☐	☐
☐	☐

☐ No ☐ NA ☐ Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?

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Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

XPLORE TECHNOLOGIES CORP

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 4/14 (29%)

OECD conformance indicators Score: 0/15 (0%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusions statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



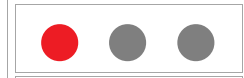
12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

XPO Logistics Inc

Basic Information

CIK	1166003	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	4700	SIC Division	Transportation, Communications, Electric, Gas, And Sanitary Services		
Division Code	E	Industry	TRANSPORTATION SERVICES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 2/15 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusional statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		
1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

XURA INC

Basic Information

CIK	1549872	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	7389	SIC Division	Services		
Division Code	I	Industry	SERVICES-BUSINESS SERVICES, NEC		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/14 (43%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3/15 (20%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?		
2. Signed?		
3. URL?		
4. Conclusions statement?		
5. Followed definitions?		
6. RCOI separate?		
7. DD described?		
8. DD framework named?		
9. DD 5 steps?		
10. Steps to improve DD?		
11. Products described?		
12. SOR facility(ies) listed?		
13. Country/ies of Origin disclosed?		
14. Efforts to determine mine?		
15. If "DRC conflict free" explicit, IPSA?		

1. Policy?		
2. Organizational structure?		
3. Digital information-sharing systems?		
4. Contracts?		
5. Grievance mechanism?		
6. Identified SOR(s) or upstream gaps?		
7. Engaged with SOR(s) to obtain information?		
8. Assessed SOR DD?		
9. Spot checks and/or audits of SOR(s)?		
10. Briefed senior management?		
11. Implemented risk management plan?		
12. Exercised leverage over upstream suppliers?		
13. Monitored SOR improvement?		
14. Supported SOR DD audits?		
15. Annually reported on DD?		
16. Conducted and published audit report(s) of DD?		

No NA Yes

Xylem Inc

Division Code D **Industry** PUMPS & PUMPING EQUIPMENT

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

● No ● NA ● Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

YINGLI GREEN ENERGY HOLDING CO LTD

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 5 / 6 (83%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 2 / 8 (25%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ZEBRA TECHNOLOGIES CORP

Basic Information

CIK	877212	Filing Date	31.05.2016	Link	URL SD URL CMR
Primary SIC	3560	SIC Division	Manufacturing		
Division Code	D	Industry	GENERAL INDUSTRIAL MACHINERY & EQUIPMENT		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 13/14 (93%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 8/15 (53%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?
2. Signed?
3. URL?
4. Conclusional statement?
5. Followed definitions?
6. RCOI separate?
7. DD described?
8. DD framework named?
9. DD 5 steps?
10. Steps to improve DD?
11. Products described?
12. SOR facility(ies) listed?
13. Country/ies of Origin disclosed?
14. Efforts to determine mine?
15. If "DRC conflict free" explicit, IPSA?

No NA Yes

1. Policy?
2. Organizational structure?
3. Digital information-sharing systems?
4. Contracts?
5. Grievance mechanism?
6. Identified SOR(s) or upstream gaps?
7. Engaged with SOR(s) to obtain information?
8. Assessed SOR DD?
9. Spot checks and/or audits of SOR(s)?
10. Briefed senior management?
11. Implemented risk management plan?
12. Exercised leverage over upstream suppliers?
13. Monitored SOR improvement?
14. Supported SOR DD audits?
15. Annually reported on DD?
16. Conducted and published audit report(s) of DD?



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ZHONE TECHNOLOGIES INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 10/14 (71%)

OECD conformance indicators Score: 5/15 (33%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ZIMMER BIOMET HOLDINGS INC

Basic Information

CIK Filing Date Link [URL SD](#) [URL CMR](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 12/14 (86%)

OECD conformance indicators Score: 9/15 (60%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI separate?



7. DD described?



8. DD framework named?



9. DD 5 steps?



10. Steps to improve DD?



11. Products described?



12. SOR facility(ies) listed?



13. Country/ies of Origin disclosed?



14. Efforts to determine mine?



15. If "DRC conflict free" explicit, IPSA?



No NA Yes

1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



5. Grievance mechanism?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



9. Spot checks and/or audits of SOR(s)?



10. Briefed senior management?



11. Implemented risk management plan?



12. Exercised leverage over upstream suppliers?



13. Monitored SOR improvement?



14. Supported SOR DD audits?



15. Annually reported on DD?



16. Conducted and published audit report(s) of DD?





Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

ZOGENIX INC

Basic Information

CIK Filing Date Link [URL SD](#)

Primary SIC SIC Division

Division Code Industry

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6/ 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 1/ 8 (13%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?



2. Signed?



3. URL?



4. Conclusional statement?



5. Followed definitions?



6. RCOI undertaken described?



7. DD described?



1. Policy?



2. Organizational structure?



3. Digital information-sharing systems?



4. Contracts?



6. Identified SOR(s) or upstream gaps?



7. Engaged with SOR(s) to obtain information?



8. Assessed SOR DD?



15. Annually reported on DD?



No NA Yes



Conflict Mineral (Dodd-Frank 1502) Scorecard – RY 2015

Zumiez Inc

Basic Information

CIK	1318008	Filing Date	26.05.2016	Link	URL SD
Primary SIC	5600	SIC Division	Retail Trade		
Division Code	G	Industry	RETAIL-APPAREL & ACCESSORY STORES		

Conflict Mineral Disclosure Assessment

SEC compliance indicators Score: 6 / 6 (100%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 1: SEC Compliance Indicators

OECD conformance indicators Score: 3 / 8 (38%)

For full indicators and notes see: Dodd-Frank Section 1502 – RY2015 Filing Evaluation, Appendix B: Indicators, Section 2: OECD-based Due Diligence Indicators

1. On time?

2. Signed?

3. URL?

4. Conclusional statement?

5. Followed definitions?

6. RCOI undertaken described?

7. DD described?

1. Policy?

2. Organizational structure?

3. Digital information-sharing systems?

4. Contracts?

6. Identified SOR(s) or upstream gaps?

7. Engaged with SOR(s) to obtain information?

8. Assessed SOR DD?

15. Annually reported on DD?

No NA Yes