# UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

## FORM SD

Specialized Disclosure Report

## **Quantum Corporation**

(Exact name of registrant as specified in its charter)

Delaware (State or other jurisdiction of incorporation or organization)

224 Airport Parkway Suite 550 San Jose CA

(Address of Principal Executive Offices)

95110

94-2665054

(I.R.S. Employer Identification No.)

(Zip Code)

Regan MacPherson

(408) 944-4000

(Name and telephone number, including area code, of the person to contact in connection with this report.)

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

Rule 13p-1 under the Securities Exchange Act (17 CFR 240.13p-1) for the reporting period from January 1 to December 31, 2019.

#### Section 1 - Conflict Minerals Disclosure

## Item 1.01 and 1.02 Conflict Minerals Disclosure and Report; Exhibit

A copy of Quantum Corporation's Conflict Minerals report is provided as Exhibit 1.01 to this Form SD and is available at the following address: <a href="http://investors.quantum.com/phoenix.zhtml?c=69905&p=irol-governance">http://investors.quantum.com/phoenix.zhtml?c=69905&p=irol-governance</a>.

#### Section 2 - Exhibits

## Item 2.01 Exhibits

The following is filed as an exhibit to this Form SD.

#### Exhibit No. Description

1.01

Conflict Minerals Report for the reporting period January 1, 2019 to December 31, 2019.

## SIGNATURES

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

Quantum Corporation (Registrant)

May 28, 2020

(Date)

/s/ Regan MacPherson

Regan MacPherson Chief Legal and Compliance Officer

#### **Quantum Corporation**

#### Conflict Minerals Report For the Calendar Year Ended December 31, 2019

This Conflict Minerals Report contains forward-looking statements. These statements include statements regarding Quantum's goals for its Conflict Minerals policy and the actions that Quantum intends to take to improve transparency and reporting. All forward-looking statements involve risk and uncertainty. When considering these statements, you should also consider the important factors described in reports and documents Quantum files from time to time with the Securities and Exchange Commission, including the factors described under the sections titled "Risk Factors" in Quantum's most recently filed Annual and Quarterly Reports on Forms 10-K and 10-Q, respectively. Except as required by law, Quantum disclaims any obligation to update information contained in these forward-looking statements whether as a result of new information, future events, or otherwise.

#### Introduction

This is the conflict minerals report for Quantum Corporation ("Quantum," "we," "us," or the "Company") for the calendar year 2019 in accordance with Rule 13p-1 under the Securities Exchange Act ("Rule 13p-1").

Quantum is a leader in storing and managing video and video-like data. We deliver top streaming performance for video and rich media applications, along with low cost, high density massive-scale data protection and archive systems. We help customers capture, create and share digital data and preserve and protect it for decades. We work closely with a broad network of distributors, VARs, DMRs, OEMs and other suppliers to meet customers' evolving needs. More information about Quantum's product suite is available at https://www.guantum.com/en/products/.

Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act and the rules promulgated thereunder ("Section 1502") requires Quantum to perform certain due diligence procedures and disclose information about the use and origin of certain minerals if these minerals are deemed to be necessary to the functionality or production of a product manufactured or contracted to be manufactured by the Company. The specific minerals covered by these rules are tin, tantalum, tungsten, and gold ("Conflict Minerals" or "3TG"). The Quantum products that contain 3TG are its hardware products (storage systems and subsystems) that the Company contracts to manufacture and sells directly or through resellers, and Conflict Minerals are necessary to their functionality or production.

Components and subassemblies that include 3TG are sourced from a global supply base that includes distributors, value-added resellers, original equipment manufacturers, original design manufacturers and contract manufacturers. Accordingly, Quantum must rely on its direct material suppliers and other third parties to provide information on their upstream 3TG sourcing facilities and processes.

In accordance with Section 1502 and Rule 13p-1, Quantum has performed a reasonable country of origin inquiry ("RCOI") into the 3TG that were in the Company's supply chain for calendar year 2019 in order to determine whether these minerals may have been sourced from the Democratic Republic of the Congo or adjoining countries "Covered Countries") and has conducted due diligence measures as described below.

#### **Due Diligence Procedures**

During calendar year 2019, Quantum undertook due diligence procedures to determine the source and chain of custody of the 3TG used in its products. Quantum's 3TG due diligence measures were designed to conform, in all material respects, with the framework described in the Organisation for Economic Co-operation and Development ("OECD") Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas, Third Edition (OECD 2016) ("OECD Guidance") and any related supplements. Specifically, the Company's 3TG due diligence measures included the following steps:

- 1. Establishing strong company management systems;
- 2. Identifying and assessing risk in the supply chain;
- 3. Managing supply chain risks;
- 4. Supporting industry organizations that carry out independent third-party audits of smelter and refiner due diligence practices; and
- 5. Publicly reporting on due diligence.

## Establish strong company management systems

- 1. We have established and committed to a company statement regarding our responsibility for addressing Conflict Minerals in our supply chain. A copy of our Conflict Minerals Policy can be provided upon request. In addition, Quantum contractually requires compliance with the Responsible Business Alliance Code of Conduct, Conflict Minerals, and Environmental Requirements Specification in our supplier and purchase order terms and conditions and in our supplier code of conduct.
- 2. Our internal Conflict Minerals processes are led by our legal department, with assistance from the Company's supply chain and engineering teams. Senior management is updated on the status of Quantum's Conflict Minerals compliance efforts.
- 3. As we do not have a direct relationship with the 3TG smelters and refiners, we engage with other major manufacturers in our industry and take advantage of third-party industry resources including the Responsible Business Alliance's Responsible Minerals Initiative ("RMI") (of which Quantum is a member) to gather information and influence supply chain practices. In calendar year 2019, we also utilized the services of Assent Compliance to help us gather, analyze, and address Conflict Minerals data and compliance status.
- 4. We have multiple longstanding grievance mechanisms whereby employees and suppliers can report violations of Quantum's policies, including reports to our ethics committee and our third-party hotline. Information about these mechanisms is available in our Code of Conduct, which is posted on the investor relations section of our website.
- 5. We have adopted a policy to retain documentation relevant to our conflict minerals due diligence and reporting.

## Identify and assess risk in the supply chain

- 1. We participate in the industry-wide RMI to evaluate and disclose upstream actors in the supply chain. As part of our risk assessment plan and to ensure suppliers understand our expectations, we provided feedback, either directly or through our relationship with Assent Compliance, to applicable suppliers regarding reporting that we believed was incomplete, inaccurate or may have indicated smelters in their supply chain that do not show progress towards a conflict free supply chain.
- 2. For consistency of data content and formatting, Quantum requests our suppliers complete a current version of the RMI conflict minerals reporting template ("CMRT"). We have determined that this process represents the most reasonable effort to determine the mines or locations of origin of the 3TG in our supply chain. Our focus has been on obtaining CMRTs from the suppliers who, in the aggregate, account for at least 80% of our annual direct supplier purchase expenditures. While not all suppliers provided the requested CMRT data, given the volume of smelters and refiners that were identified by other suppliers, it is unlikely that a 100% response rate would have identified a significant number of additional valid smelter or refiner locations.
- 3. Risk is assessed by reviewing information contained in the declaration tab of each supplier's CMRT and by comparing the CMRT data against the RMI smelter and refiner list. In CY19,

Quantum utilized the services of Assent Compliance, a third-party resource for data gathering and analysis and subsequent aggregation of declarations and consolidated smelter reports. These summary reports helped identify risks associated with smelters in our supply chain that may have required mitigation.

## Manage Supply Chain Risks

- 1. Quantum has an enterprise risk management plan through which the Conflict Minerals program is implemented, managed and monitored. Updates regarding the risk assessment with respect to 3GT/Conflict Minerals and their usage in the supply chain are provided to senior management.
- Quantum suppliers and contract manufacturers are contractually obligated to comply with our Environmental Requirements Specification, including by providing CMRTs and supporting a conflict-free supply chain. Assent Compliance was used to identify and evaluate smelter and refiner data included on CMRTs against the RMI database. Corrections were requested from suppliers for any data inconsistencies or inaccuracies identified during that process.
- 3. We request data from suppliers whom we have reason to believe (based on part type and material) may be supplying us with 3TG, with the focus being suppliers who represent the top 80% of material purchase spend. Suppliers providing CMRT information that suggests their supply chains may support conflict in the Covered Countries are encouraged to establish an alternative source of 3TG that does not support such conflict, as provided in the OECD guidance. Requirements to comply with Conflict Minerals reporting and conflict free sourcing efforts are included in Quantum's supplier agreements, purchase order terms and conditions, and Environmental Requirements Specification.
- 4. Some of our suppliers were unable to represent to us that 3TG from the entities they listed had actually been included in components they supplied to Quantum. In addition, some identified processing facilities were not validated as being verified smelters or refiners. We have therefore elected to present only the smelter and refiner names identified by the RMI in this report (Table 1). Of those smelters that have been identified, 81% have been found to be RMI conformant or active. Quantum will continue to encourage suppliers to utilize only compliant smelters. Table 2 lists the countries where the 3TG originated, based on RMI data.

## Support industry organizations that carry out independent third-party audits of smelter and refiner due diligence practices

We do not have a direct relationship with 3TG smelters and refiners and do not ourselves perform or direct audits of the due diligence practices of these entities within our supply chain. However, we support audits through our participation in various industry initiatives. Quantum is a member of the RMI and compares supplier smelter and refiner data with RMI lists as described above. Quantum considers smelters and refiners identified by the RMI as conformant to be conflict-free.

#### Publicly report on due diligence

A copy of Quantum Corporation's Conflict Minerals report is provided as Exhibit 1.01 to this Form SD and is available at the following address: <u>http://investors.guantum.com/phoenix.zhtml?c=69905&p=irol-governance</u>.

### **Results of Due Diligence**

Based on the information available to the Company via industry sources and the due diligence processes described above, Quantum believes that some or all of the smelters and refiners listed in Table 1 may have provided some or all of the 3TG used in Quantum products in CY19. Quantum continues to have smelters in its supply chain that have not been identified by the RMI as conformant with its conflict-free audit process. We do not believe that the 3TG used in our products originated from recycled or scrap sources.

We continue to engage in ongoing work with our supply chain to only use smelters or refiners that are actively achieving or progressing toward RMI conflict-free status. We expect that over time, our due diligence efforts will incrementally improve and yield more complete information, particularly as suppliers improve the accuracy of their own data and more smelters and refiners participate in third-party audit process.

An independent private sector audit of our Conflict Minerals Report was not required for calendar year 2019.

## Table 1. Potential Smelters and Refiners Used.

The information provided in the list below is an aggregation of data received from our supply chain and not a confirmation of 3TG Minerals contained in Quantum products. Since most of the identified smelters or refiners were disclosed at the company-level by our suppliers, we are unable to confirm which specific smelters or refiners actually supplied parts or components used in Quantum products. Therefore, there may be some smelters or refiners in the list below that do not relate directly to our products. Only the smelters or refiners whose names are recognized as smelters or refiners by the RMI are listed below.

Smelter ID	Metal	Standard Smelter Name	RMAP Audit Status
CID000015	Gold	Advanced Chemical Company	Conformant
CID000019	Gold	Aida Chemical Industries Co., Ltd.	Conformant
CID000035	Gold	Allgemeine Gold-und Silberscheideanstalt A.G.	Conformant
CID000041	Gold	Almalyk Mining and Metallurgical Complex (AMMC)	Conformant
CID000058	Gold	AngloGold Ashanti Corrego do Sitio Mineracao	Conformant
CID000077	Gold	Argor-Heraeus S.A.	Conformant
CID000082	Gold	Asahi Pretec Corp.	Conformant
CID000090	Gold	Asaka Riken Co., Ltd.	Conformant
CID000103	Gold	Atasay Kuyumculuk Sanayi Ve Ticaret A.S.	Due Diligence Vetting Process
CID000113	Gold	Aurubis AG	Conformant
CID000128	Gold	Bangko Sentral ng Pilipinas (Central Bank of the Philippines)	Conformant
CID000157	Gold	Boliden AB	Conformant
CID000176	Gold	C. Hafner GmbH + Co. KG	Conformant
CID000180	Gold	Caridad	Communication Suspended - Not Interested
CID000185	Gold	CCR Refinery - Glencore Canada Corporation	Conformant
CID000189	Gold	Cendres + Metaux S.A.	Conformant
CID000197	Gold	Yunnan Copper Industry Co., Ltd.	Outreach Required
CID000233	Gold	Chimet S.p.A.	Conformant
CID000264	Gold	Chugai Mining	Conformant
CID000343	Gold	Daye Non-Ferrous Metals Mining Ltd.	In Communication
CID000359	Gold	DSC (Do Sung Corporation)	Conformant
CID000362	Gold	DODUCO Contacts and Refining GmbH	Conformant
CID000401	Gold	Dowa	Conformant
CID000425	Gold	Eco-System Recycling Co., Ltd. East Plant	Conformant
CID000493	Gold	OJSC Novosibirsk Refinery	Conformant
CID000522	Gold	Refinery of Seemine Gold Co., Ltd.	Outreach Required
CID000651	Gold	Guoda Safina High-Tech Environmental Refinery Co., Ltd.	Outreach Required
CID000671	Gold	Hangzhou Fuchunjiang Smelting Co., Ltd.	Outreach Required
CID000689	Gold	LT Metal Ltd.	Conformant
CID000694	Gold	Heimerle + Meule GmbH	Conformant
CID000707	Gold	Heraeus Metals Hong Kong Ltd.	Conformant
CID000711	Gold	Heraeus Precious Metals GmbH & Co. KG	Conformant
CID000767	Gold	Hunan Chenzhou Mining Co., Ltd.	Outreach Required
CID000773	Gold	Hunan Guiyang yinxing Nonferrous Smelting Co., Ltd.	Outreach Required
CID000778	Gold	HwaSeong CJ CO., LTD.	Communication Suspended - Not Interested
CID000801	Gold	Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd.	Conformant
CID000807	Gold	Ishifuku Metal Industry Co., Ltd.	Conformant
CID000814	Gold	Istanbul Gold Refinery	Conformant
CID000823	Gold	Japan Mint	Conformant
CID000855	Gold	Jiangxi Copper Co., Ltd.	Conformant

Smelter ID	Metal	Standard Smelter Name	RMAP Audit Status
CID000920	Gold	Asahi Refining USA Inc.	Conformant
CID000924	Gold	Asahi Refining Canada Ltd.	Conformant
			RMI Due Diligence Review - Unable to
CID000927	Gold	JSC Ekaterinburg Non-Ferrous Metal Processing Plant	Proceed
CID000929	Gold	JSC Uralelectromed	Conformant
CID000937	Gold	JX Nippon Mining & Metals Co., Ltd.	Conformant
CID000956	Gold	Kazakhmys Smelting LLC	In Communication
CID000957	Gold	Kazzinc	Conformant
CID000969	Gold	Kennecott Utah Copper LLC	Conformant
CID000981	Gold	Kojima Chemicals Co., Ltd.	Conformant
CID001029	Gold	Kyrgyzaltyn JSC	Conformant
CID001032	Gold	L'azurde Company For Jewelry	RMI Due Diligence Review - Unable to Proceed
CID001056	Gold	Lingbao Gold Co., Ltd.	Outreach Required
CID001058	Gold	Lingbao Jinyuan Tonghui Refinery Co., Ltd.	Outreach Required
CID001078	Gold	LS-NIKKO Copper Inc.	Conformant
CID001093	Gold	Luoyang Zijin Yinhui Gold Refinery Co., Ltd.	Outreach Required
CID001113	Gold	Materion	Conformant
CID001119	Gold	Matsuda Sangyo Co., Ltd.	Conformant
CID001147	Gold	Metalor Technologies (Suzhou) Ltd.	Conformant
CID001149	Gold	Metalor Technologies (Hong Kong) Ltd.	Conformant
CID001152	Gold	Metalor Technologies (Singapore) Pte., Ltd.	Conformant
CID001153	Gold	Metalor Technologies S.A.	Conformant
CID001157	Gold	Metalor USA Refining Corporation	Conformant
CID001161	Gold	Metalurgica Met-Mex Penoles S.A. De C.V.	Conformant
CID001188	Gold	Mitsubishi Materials Corporation	Conformant
CID001193	Gold	Mitsui Mining and Smelting Co., Ltd.	Conformant
CID001204	Gold	Moscow Special Alloys Processing Plant	Conformant
CID001220	Gold	Nadir Metal Rafineri San. Ve Tic. A.S.	Conformant
CID001236	Gold	Navoi Mining and Metallurgical Combinat	Outreach Required
CID001259	Gold	Nihon Material Co., Ltd.	Conformant
CID001325	Gold	Ohura Precious Metal Industry Co., Ltd.	Conformant
CID001326	Gold	OJSC "The Gulidov Krasnoyarsk Non-Ferrous Metals Plant" (OJSC Krastsvetmet)	Conformant
CID001352	Gold	PAMP S.A.	Conformant
CID001362	Gold	Penglai Penggang Gold Industry Co., Ltd.	Outreach Required
CID001386	Gold	Prioksky Plant of Non-Ferrous Metals	Conformant
CID001397	Gold	PT Aneka Tambang (Persero) Tbk	Conformant
CID001498	Gold	PX Precinox S.A.	Conformant
CID001512	Gold	Rand Refinery (Pty) Ltd.	Conformant
CID001534	Gold	Royal Canadian Mint	Conformant
CID001546	Gold	Sabin Metal Corp.	Outreach Required
CID001555	Gold	Samduck Precious Metals	Conformant
CID001562	Gold	Samwon Metals Corp.	Communication Suspended - Not Interested
CID001585	Gold	SEMPSA Joyeria Plateria S.A.	Conformant
CID001619	Gold	Shandong Tiancheng Biological Gold Industrial Co., Ltd.	Outreach Required
CID001622	Gold	Shandong Zhaojin Gold & Silver Refinery Co., Ltd.	Conformant
CID001736	Gold	Sichuan Tianze Precious Metals Co., Ltd.	Conformant
1			1

Smelter ID	Metal	Standard Smelter Name	RMAP Audit Status
CID001761	Gold	Solar Applied Materials Technology Corp.	Conformant
CID001798	Gold	Sumitomo Metal Mining Co., Ltd.	Conformant
CID001875	Gold	Tanaka Kikinzoku Kogyo K.K.	Conformant
CID001909	Gold	Great Wall Precious Metals Co., Ltd. of CBPM	Outreach Required
CID001916	Gold	The Refinery of Shandong Gold Mining Co., Ltd.	Conformant
CID001938	Gold	Tokuriki Honten Co., Ltd.	Conformant
CID001947	Gold	Tongling Nonferrous Metals Group Co., Ltd.	Outreach Required
CID001955	Gold	Torecom	Conformant
CID001977	Gold	Umicore Brasil Ltda.	Conformant
CID001980	Gold	Umicore S.A. Business Unit Precious Metals Refining	Conformant
CID001993	Gold	United Precious Metal Refining, Inc.	Conformant
CID002003	Gold	Valcambi S.A.	Conformant
CID002030	Gold	Western Australian Mint (T/a The Perth Mint)	Conformant
CID002100	Gold	Yamakin Co., Ltd.	Conformant
CID002129	Gold	Yokohama Metal Co., Ltd.	Conformant
CID002224	Gold	Zhongyuan Gold Smelter of Zhongjin Gold Corporation	Conformant
CID002243	Gold	Gold Refinery of Zijin Mining Group Co., Ltd.	Conformant
CID002282	Gold	Morris and Watson	Communication Suspended - Not Interested
CID002290	Gold	SAFINA A.S.	Active
CID002312	Gold	Guangdong Jinding Gold Limited	Outreach Required
CID002314	Gold	Umicore Precious Metals Thailand	Conformant
CID002459	Gold	Geib Refining Corporation	Conformant
CID002509	Gold	MMTC-PAMP India Pvt., Ltd.	Conformant
CID002511	Gold	KGHM Polska Miedz Spolka Akcyjna	Conformant
CID002515	Gold	Fidelity Printers and Refiners Ltd.	RMI Due Diligence Review - Unable to Proceed
CID002516	Gold	Singway Technology Co., Ltd.	Conformant
CID002525	Gold	Shandong Humon Smelting Co., Ltd.	Outreach Required
CID002560	Gold	Al Etihad Gold Refinery DMCC	Conformant
CID002561	Gold	Emirates Gold DMCC	Conformant
CID002562	Gold	International Precious Metal Refiners	Outreach Required
CID002563	Gold	Kaloti Precious Metals	RMI Due Diligence Review - Unable to Proceed
CID002567	Gold	Sudan Gold Refinery	Outreach Required
CID002580	Gold	T.C.A S.p.A	Conformant
CID002582	Gold	REMONDIS PMR B.V.	Conformant
CID002584	Gold	Fujairah Gold FZC	Outreach Required
CID002587	Gold	Tony Goetz NV	Non Conformant
CID002605	Gold	Korea Zinc Co., Ltd.	Conformant
CID002606	Gold	Marsam Metals	Conformant
CID002615	Gold	TOO Tau-Ken-Altyn	Conformant
CID002708	Gold	Abington Reldan Metals, LLC	Non Conformant
CID002761	Gold	SAAMP	Conformant
CID002762	Gold	L'Orfebre S.A.	Conformant
CID002763	Gold	8853 S.p.A.	Conformant
CID002765	Gold	Italpreziosi	Conformant
CID002777	Gold	SAXONIA Edelmetalle GmbH	Conformant
CID002778	Gold	WIELAND Edelmetalle GmbH	Conformant
CID002779	Gold	Ogussa Osterreichische Gold- und Silber-Scheideanstalt GmbH	Conformant

Smelter ID	Metal	Standard Smelter Name	RMAP Audit Status
CID002850	Gold	AU Traders and Refiners	Conformant
CID002852	Gold	GCC Gujrat Gold Centre Pvt. Ltd.	In Communication
CID002853	Gold	Sai Refinery	Outreach Required
CID002857	Gold	Modeltech Sdn Bhd	Non Conformant
CID002863	Gold	Bangalore Refinery	Conformant
CID002865	Gold	Kyshtym Copper-Electrolytic Plant ZAO	Outreach Required
CID002867	Gold	Degussa Sonne / Mond Goldhandel GmbH	Outreach Required
CID002872	Gold	Pease & Curren	Outreach Required
CID002918	Gold	SungEel HiMetal Co., Ltd.	Conformant
CID002919	Gold	Planta Recuperadora de Metales SpA	Conformant
CID002973	Gold	Safimet S.p.A	Conformant
CID003153	Gold	State Research Institute Center for Physical Sciences and Technology	Outreach Required
CID003185	Gold	African Gold Refinery	Outreach Required
CID003189	Gold	NH Recytech Company	Non Conformant
CID003195	Gold	DS PRETECH Co., Ltd.	Conformant
CID003324	Gold	QG Refining, LLC	Outreach Required
CID003348	Gold	Dijllah Gold Refinery FZC	In Communication
CID003382	Gold	CGR Metalloys Pvt Ltd.	Outreach Required
CID003383	Gold	Sovereign Metals	Outreach Required
CID000092	Tantalum	Asaka Riken Co., Ltd.	Conformant
CID000211	Tantalum	Changsha South Tantalum Niobium Co., Ltd.	Conformant
CID000456	Tantalum	Exotech Inc.	Conformant
CID000460	Tantalum	F&X Electro-Materials Ltd.	Conformant
CID000616	Tantalum	Guangdong Zhiyuan New Material Co., Ltd.	Conformant
CID000914	Tantalum	JiuJiang JinXin Nonferrous Metals Co., Ltd.	Conformant
CID000917	Tantalum	Jiujiang Tanbre Co., Ltd.	Conformant
CID001076	Tantalum	LSM Brasil S.A.	Conformant
CID001163	Tantalum	Metallurgical Products India Pvt., Ltd.	Conformant
CID001175	Tantalum	Mineracao Taboca S.A.	Conformant
CID001192	Tantalum	Mitsui Mining and Smelting Co., Ltd.	Conformant
CID001200	Tantalum	NPM Silmet AS	Conformant
CID001277	Tantalum	Ningxia Orient Tantalum Industry Co., Ltd.	Conformant
CID001508	Tantalum	QuantumClean	Conformant
CID001522	Tantalum	Yanling Jincheng Tantalum & Niobium Co., Ltd.	Conformant
CID001769	Tantalum	Solikamsk Magnesium Works OAO	Conformant
CID001869	Tantalum	Taki Chemical Co., Ltd.	Conformant
CID001891	Tantalum	Telex Metals	Conformant
CID001969	Tantalum	Ulba Metallurgical Plant JSC	Conformant
CID002492	Tantalum	Hengyang King Xing Lifeng New Materials Co., Ltd.	Conformant
CID002504	Tantalum	D Block Metals, LLC	Conformant
CID002505	Tantalum	FIR Metals & Resource Ltd.	Conformant
CID002506	Tantalum	Jiujiang Zhongao Tantalum & Niobium Co., Ltd.	Conformant
CID002508	Tantalum	XinXing HaoRong Electronic Material Co., Ltd.	Conformant
CID002512	Tantalum	Jiangxi Dinghai Tantalum & Niobium Co., Ltd.	Conformant
CID002539	Tantalum	KEMET Blue Metals	Conformant
CID002544	Tantalum	H.C. Starck Co., Ltd.	Conformant
CID002545	Tantalum	H.C. Starck Tantalum and Niobium GmbH	Conformant
CID002547	Tantalum	H.C. Starck Hermsdorf GmbH	Conformant

Smelter ID	Metal	Standard Smelter Name	RMAP Audit Status
CID002548	Tantalum	H.C. Starck Inc.	Conformant
CID002549	Tantalum	H.C. Starck Ltd.	Conformant
CID002550	Tantalum	H.C. Starck Smelting GmbH & Co. KG	Conformant
CID002557	Tantalum	Global Advanced Metals Boyertown	Conformant
CID002558	Tantalum	Global Advanced Metals Aizu	Conformant
CID002707	Tantalum	Resind Industria e Comercio Ltda.	Conformant
CID002842	Tantalum	Jiangxi Tuohong New Raw Material	Conformant
CID002847	Tantalum	PRG Dooel	Conformant
CID003402	Tantalum	CP Metals Inc.	Conformant
CID000228	Tin	Chenzhou Yunxiang Mining and Metallurgy Co., Ltd.	Conformant
CID000292	Tin	Alpha	Conformant
CID000402	Tin	Dowa	Conformant
CID000438	Tin	EM Vinto	Conformant
CID000448	Tin	Estanho de Rondonia S.A.	In Communication
CID000468	Tin	Fenix Metals	Conformant
CID000538	Tin	Gejiu Non-Ferrous Metal Processing Co., Ltd.	Conformant
CID000555	Tin	Gejiu Zili Mining And Metallurgy Co., Ltd.	Conformant
CID000760	Tin	Huichang Jinshunda Tin Co., Ltd.	Conformant
CID000942	Tin	Gejiu Kai Meng Industry and Trade LLC	Conformant
CID001070	Tin	China Tin Group Co., Ltd.	Conformant
CID001105	Tin	Malaysia Smelting Corporation (MSC)	Conformant
CID001142	Tin	Metallic Resources, Inc.	Conformant
CID001173	Tin	Mineracao Taboca S.A.	Conformant
CID001182	Tin	Minsur	Conformant
CID001191	Tin	Mitsubishi Materials Corporation	Conformant
CID001231	Tin	Jiangxi New Nanshan Technology Ltd.	Conformant
CID001314	Tin	O.M. Manufacturing (Thailand) Co., Ltd.	Conformant
CID001337	Tin	Operaciones Metalurgicas S.A.	Conformant
CID001399	Tin	PT Artha Cipta Langgeng	Conformant
CID001453	Tin	PT Mitra Stania Prima	Conformant
CID001460	Tin	PT Refined Bangka Tin	Conformant
CID001477	Tin	PT Timah Tbk Kundur	Conformant
CID001482	Tin	PT Timah Tbk Mentok	Conformant
CID001539	Tin	Rui Da Hung	Conformant
CID001758	Tin	Soft Metais Ltda.	Conformant
CID001898	Tin	Thaisarco	Conformant
CID001908	Tin	Gejiu Yunxin Nonferrous Electrolysis Co., Ltd.	Conformant
CID002036	Tin	White Solder Metalurgia e Mineracao Ltda.	Conformant
CID002038 CID002158	Tin	Yunnan Chengfeng Non-ferrous Metals Co., Ltd.	Conformant
CID002158 CID002180	Tin	Yunnan Tin Company Limited	Conformant
CID002180 CID002468	Tin	Magnu's Minerais Metais e Ligas Ltda.	Conformant
CID002408 CID002500	Tin	Magnu s Minerais Metais e Ligas Ligas Liga. Melt Metais e Ligas S.A.	Conformant
CID002500 CID002503	-	PT ATD Makmur Mandiri Jaya	Conformant
	Tin		Conformant
CID002517	Tin	O.M. Manufacturing Philippines, Inc.	
CID002572	Tin	Electro-Mechanical Facility of the Cao Bang Minerals & Metallurgy Joint Stock Company	Non Conformant
CID002573	Tin	Nghe Tinh Non-Ferrous Metals Joint Stock Company	Outreach Required
CID002574	Tin	Tuyen Quang Non-Ferrous Metals Joint Stock Company	Outreach Required
CID002703	Tin	An Vinh Joint Stock Mineral Processing Company	Outreach Required

Smelter ID	Metal	Standard Smelter Name	RMAP Audit Status
CID002706	Tin	Resind Industria e Comercio Ltda.	Conformant
CID002756	Tin	Super Ligas	Outreach Required
CID002773	Tin	Metallo Belgium N.V.	Conformant
CID002774	Tin	Metallo Spain S.L.U.	Conformant
CID002834	Tin	Thai Nguyen Mining and Metallurgy Co., Ltd.	Conformant
CID002835	Tin	PT Menara Cipta Mulia	Conformant
CID002844	Tin	HuiChang Hill Tin Industry Co., Ltd.	Conformant
CID002849	Tin	Guanyang Guida Nonferrous Metal Smelting Plant	Conformant
CID002858	Tin	Modeltech Sdn Bhd	Non Conformant
CID003116	Tin	Guangdong Hanhe Non-Ferrous Metal Co., Ltd.	Conformant
CID003190	Tin	Chifeng Dajingzi Tin Industry Co., Ltd.	Conformant
CID003208	Tin	Pongpipat Company Limited	Outreach Required
CID003325	Tin	Tin Technology & Refining	Conformant
CID003379	Tin	Ma'anshan Weitai Tin Co., Ltd.	Conformant
CID003397	Tin	Yunnan Yunfan Non-ferrous Metals Co., Ltd.	Conformant
CID003409	Tin	Precious Minerals and Smelting Limited	Active
CID003410	Tin	Gejiu City Fuxiang Industry and Trade Co., Ltd.	Outreach Required
CID000004	Tungsten	A.L.M.T. Corp.	Conformant
CID000105	Tungsten	Kennametal Huntsville	Conformant
CID000218	Tungsten	Guangdong Xianglu Tungsten Co., Ltd.	Conformant
CID000258	Tungsten	Chongyi Zhangyuan Tungsten Co., Ltd.	Conformant
CID000281	Tungsten	CNMC (Guangxi) PGMA Co., Ltd.	Outreach Required
CID000499	Tungsten	Fujian Jinxin Tungsten Co., Ltd.	Conformant
CID000568	Tungsten	Global Tungsten & Powders Corp.	Conformant
CID000766	Tungsten	Hunan Chenzhou Mining Co., Ltd.	Conformant
CID000769	Tungsten	Hunan Chunchang Nonferrous Metals Co., Ltd.	Conformant
CID000825	Tungsten	Japan New Metals Co., Ltd.	Conformant
CID000875	Tungsten	Ganzhou Huaxing Tungsten Products Co., Ltd.	Conformant
CID000966	Tungsten	Kennametal Fallon	Conformant
CID001889	Tungsten	Tejing (Vietnam) Tungsten Co., Ltd.	Conformant
CID002044	Tungsten	Wolfram Bergbau und Hutten AG	Conformant
CID002082	Tungsten	Xiamen Tungsten Co., Ltd.	Conformant
CID002095	Tungsten	Xinhai Rendan Shaoguan Tungsten Co., Ltd.	Conformant
CID002313	Tungsten	Jiangxi Minmetals Gao'an Non-ferrous Metals Co., Ltd.	Communication Suspended - Not Interested
CID002315	Tungsten	Ganzhou Jiangwu Ferrotungsten Co., Ltd.	Conformant
CID002316	Tungsten	Jiangxi Yaosheng Tungsten Co., Ltd.	Conformant
CID002317	Tungsten	Jiangxi Xinsheng Tungsten Industry Co., Ltd.	Conformant
CID002318	Tungsten	Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd.	Conformant
CID002319	Tungsten	Malipo Haiyu Tungsten Co., Ltd.	Conformant
CID002320	Tungsten	Xiamen Tungsten (H.C.) Co., Ltd.	Conformant
CID002321	Tungsten	Jiangxi Gan Bei Tungsten Co., Ltd.	Conformant
		Ganzhou Seadragon W & Mo Co., Ltd.	
CID002494	Tungsten		Conformant
CID002513	Tungsten	Chenzhou Diamond Tungsten Products Co., Ltd.	Conformant
CID002541	Tungsten	H.C. Starck Tungsten GmbH	Conformant
CID002542	Tungsten	H.C. Starck Smelting GmbH & Co. KG	Conformant
CID002543	Tungsten	Masan Tungsten Chemical LLC (MTC)	Conformant
CID002551	Tungsten	Jiangwu H.C. Starck Tungsten Products Co., Ltd.	Conformant
CID002579	Tungsten	Hunan Chuangda Vanadium Tungsten Co., Ltd. Wuji	Conformant

Smelter ID	Metal	Standard Smelter Name	RMAP Audit Status
CID002589	Tungsten	Niagara Refining LLC	Conformant
CID002641	Tungsten	China Molybdenum Tungsten Co., Ltd.	In Communication
CID002645	Tungsten	Ganzhou Haichuang Tungsten Co., Ltd.	Conformant
CID002647	Tungsten	Jiangxi Xianglu Tungsten Co., Ltd.	Active
CID002649	Tungsten	Hydrometallurg, JSC	Conformant
CID002724	Tungsten	Unecha Refractory metals plant	Conformant
CID002827	Tungsten	Philippine Chuangxin Industrial Co., Inc.	Conformant
CID002830	Tungsten	Xinfeng Huarui Tungsten & Molybdenum New Material Co., Ltd.	Conformant
CID002833	Tungsten	ACL Metais Eireli	Conformant
CID002843	Tungsten	Woltech Korea Co., Ltd.	Conformant
CID002845	Tungsten	Moliren Ltd.	Conformant
CID003182	Tungsten	Hunan Litian Tungsten Industry Co., Ltd.	Conformant
CID003388	Tungsten	KGETS Co., Ltd.	Conformant
CID003401	Tungsten	Fujian Ganmin RareMetal Co., Ltd.	Conformant
CID003407	Tungsten	Lianyou Metals Co., Ltd.	Conformant
CID003408	Tungsten	JSC "Kirovgrad Hard Alloys Plant"	Active

Table 2. Country of Origin Data

The countries of origin of the 3TG Minerals processed by the smelters or refiners listed above may have included the countries identified below, based on information provided by the RMI to its members. Since most of the identified smelters or refiners were disclosed at the company-level by our suppliers, we are unable to confirm which specific smelters or refiners actually supplied parts or components used in Quantum products. Therefore, there may be countries of origin in the list below that do not relate directly to our products.

ANDORRA
ANDORRA
AUSTRIA BELGIUM
BOLIVIA (PLURINATIONAL STATE OF)
BRAZIL
CANADA
CHILE
CHINA
CZECHIA
ESTONIA
FRANCE
GERMANY
INDIA
INDONESIA
ITALY
JAPAN
KAZAKHSTAN
KOREA, REPUBLIC OF
KYRGYZSTAN
LITHUANIA
MALAYSIA
MEXICO
MYANMAR
NETHERLANDS
NEW ZEALAND
NORTH MACEDONIA, REPUBLIC OF
PERU
PHILIPPINES
POLAND
RUSSIAN FEDERATION
SAUDI ARABIA
SINGAPORE
SOUTH AFRICA
SPAIN
SUDAN
SWEDEN
SWITZERLAND
TAIWAN, PROVINCE OF CHINA
THAILAND
TURKEY
UGANDA
UNITED ARAB EMIRATES
UNITED STATES OF AMERICA
UZBEKISTAN
VIET NAM
ZIMBABWE