

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

**FORM SD/A
Specialized Disclosure Report**

 **ENPHASE**
ENPHASE ENERGY, INC.
(Exact name of registrant as specified in its charter)

Delaware

(State or other Jurisdiction of Incorporation)

001-35480

(Commission File No.)

20-4645388

(IRS Employer Identification No.)

47281 Bayside Parkway

Fremont, CA 94538

(Address of principal executive offices, including zip code)

Lisan Hung

Vice President, General Counsel and Corporate Secretary

(707) 774-7000

(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.

EXPLANATORY NOTE

We are filing this Amendment No. 1 on Form SD/A (“Amendment No. 1”) to amend our Form SD for the reporting period from January 1 to December 31, 2019, as filed with the Securities and Exchange Commission on June 1, 2020. The sole purpose of this Amendment No. 1 is to correct in the Conflicts Minerals Report, Exhibit 1.01, a reference date error in Section 2 “Company Overview”, the number of suppliers in Section 4 “Reasonable Country of Origin Inquiry”, and data presented in Section 7.1 “Survey Response” and Section 7.3 “Smelters or Refiners Identified” to reflect a greater number (and corresponding greater percentage) of suppliers that 1) did not source Conflict Minerals at all, 2) sourced Conflict Minerals that did not originate in the Covered Countries, or 3) sourced Conflict Minerals solely from smelters and refiners that are certified conflict free.

Other than as expressly set forth above, this Amendment No. 1 does not, and does not purport to, amend, update, or restate the information in any item of the Form SD.

Section 1 - Conflict Minerals Disclosure

Item 1.01 and 1.02 Conflict Minerals Disclosure and Report

A copy of the Company’s Conflict Minerals Report for the calendar year ended December 31, 2019 is publicly available on the Company’s corporate website at <http://investor.enphase.com/sec.cfm>.

Section 2 - Exhibits

Item 2.01 Exhibits

| Exhibit Number | Description |
|-----------------------|--|
| 1.01 | Conflicts 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.

Date: July 2, 2020

ENPHASE ENERGY, INC.

By: /s/ Lisan Hung

Lisan Hung

Vice President, General Counsel and Corporate Secretary

Enphase Energy, Inc. Conflict Minerals Report

For the Year January 1, 2019 through December 31, 2019

1. Introduction

This report for the year January 1, 2019 through December 31, 2019 (the Reporting Period) is presented to comply with Rule 13p-1 under the Securities Exchange Act of 1934 (the Rule). The Rule was adopted by the Securities and Exchange Commission (SEC) to implement reporting and disclosure requirements related to conflict minerals as directed by the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 (Dodd-Frank Act). The Rule imposes certain reporting obligations on SEC registrants whose manufactured products contain conflict minerals that are necessary to the functionality or production of their products. Conflict minerals are defined as tin, tantalum, tungsten, and gold (3TG or Conflict Minerals) for the purposes of this assessment. These requirements apply to registrants whatever the geographic origin of the Conflict Minerals and whether they fund armed conflict.

If a registrant can establish that the Conflict Minerals originated from sources other than the Democratic Republic of the Congo or an adjoining country (the Covered Countries), or from recycled and scrap sources, it must submit a Form SD that describes the Reasonable Country of Origin Inquiry (the RCOI) completed.

If a registrant has reason to believe that any of the Conflict Minerals in its supply chain may have originated in the Covered Countries, or if it is unable to determine the country of origin of those Conflict Minerals, then the registrant must perform due diligence on the Conflict Minerals' source and chain of custody. The registrant must annually submit a Conflict Minerals Report (CMR) to the SEC that includes a description of those due diligence measures.

2. Company Overview

This report has been prepared by management of Enphase Energy, Inc. (herein referred to as Enphase Energy, the Company, we, us, or our). The information includes the activities of all majority-owned subsidiaries.

Enphase Energy is a global energy technology company, delivering smart, easy-to-use solutions that connect solar generation, storage and communications management on one intelligent platform. We revolutionized solar with our microinverter technology and produce the world's only truly integrated solar-plus-storage solution. As of March 31, 2020, we have shipped more than 27 million microinverters, and over 1.1 million Enphase residential and commercial systems have been deployed in more than 130 countries.

3. Products Overview

Enphase Energy designs, develops, manufactures and sells home energy solutions that manage energy generation, energy storage, and control and communications on one intelligent platform. The Enphase Home Energy Solution with IQ™ brings a high technology, networked approach to solar generation plus energy storage, by leveraging our design expertise across power electronics, semiconductors and cloud-based software technologies. Our integrated approach to energy management helps to facilitate ease of installation and optimizing a home's energy usage. Enphase's Always-On connected system also provides advanced monitoring and remote maintenance capabilities. The Enphase Home Energy Solution with IQ uses a single technology platform for seamless management of the whole solution, enabling rapid commissioning with the Installer Toolkit™; consumption monitoring with our Enphase Combiner 3C™ that includes the Envoy™ Communications Gateway, Enphase Enlighten™, a cloud-based energy management platform, Enphase IQ Combiner 3C™, designed to provide an uninterrupted connectivity to Enphase Enlighten, and our Enphase AC Battery™.

Based upon Enphase Energy's internal assessment, the Enphase microinverter products, certain related microinverter accessories, the Enphase Envoy, and the Enphase AC Battery contain Conflict Minerals that are necessary to the functionality or production of those products. Accordingly, for the purposes of this assessment, only Enphase Energy's microinverter products, certain related accessories, the Enphase Envoy and the Enphase AC Battery (the Covered Products) were considered.

4. Reasonable Country of Origin Inquiry

Enphase Energy relies upon its suppliers to provide information on the origin of 3TG contained in components and materials supplied to it, including sources of 3TG that are supplied to them from sub-tier suppliers. Our suppliers are expected to provide the 3TG sourcing information to us per our Conflict Minerals Policy and Supplier Code of Conduct.

We performed a comprehensive analysis of our product components and the role that suppliers play throughout our manufacturing and product delivery processes. We defined the scope of our Conflict Minerals RCOI by identifying and reaching out to suppliers that provided components or engaged in manufacturing activities that are likely to contain 3TG during the Reporting Period. During the process of our review, we identified 152 suppliers who were within the scope of RCOI.

We, through our outside agent Flextronics International Ltd. who assisted us in our RCOI and due diligence efforts, conducted a survey of our active suppliers and sub-suppliers using the template developed jointly by the companies of Electronic Industry Citizenship Coalition® (EICC®) and The Global e-Sustainability Initiative (GeSI), known as the Conflict Free Sourcing Initiative (CFSI) Reporting Template (the Template). The Template was developed to facilitate disclosure and communication of information regarding smelters that provide material to a company's supply chain. It includes questions regarding a company's conflict-free policy, engagement with its direct suppliers, and a listing of the smelters the company and its suppliers use. In addition, the Template contains questions about the origin of Conflict Minerals included in their products, as well as supplier due diligence. Written instructions and recorded training illustrating the use of the tool is available on CFSI's website. The Template is widely adopted by many companies in their due diligence processes related to Conflict Minerals.

We continued to seek supply chain responses through April 28, 2020, and were able to determine the country of origin of most of the Conflict Minerals in our supply chain. We received valid Templates from 125 of the 152 suppliers surveyed. The responses were reviewed against criteria developed to determine which suppliers required further engagement.

Due to the breadth, complexity and constant evolution of Enphase Energy's products and supply chain, it will take time for all remaining suppliers to verify the origin of all of the Conflict Minerals. In addition, the information provided by suppliers may be inaccurate, incomplete or subject to other irregularities. Moreover, because of the Company's relative location within the supply chain in relation to the actual extraction and transport of Conflict Minerals, its ability to verify the accuracy of information reported by suppliers is limited. By using our supply chain due diligence processes, driving accountability within the supply chain by leveraging the CFSI's Conflict-Free Smelter Program (CFSP), and continuing our outreach efforts, we hope to further develop transparency into our supply chain.

5. Conflict Minerals Status Analysis and Conflict Status Conclusion

Enphase Energy has been unable to reasonably determine whether all of the 3TG used in our Covered Products either originated in the Covered Countries, came from recycled or scrap sources, or whether they were used directly or indirectly to finance or benefit armed groups in the Covered Countries.

6. Due Diligence Process

6.1 Design of Due Diligence

Enphase Energy's due diligence processes have been designed in conformity with, in all material respects, The Organization for Economic Co-operation and Development (OECD) Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas and the related supplements for gold, tin, tantalum and tungsten (OECD Guidance), consistent with our position as a downstream company. Our Conflict Minerals due diligence process includes: the development of a Conflict Minerals Policy, establishment of governance structures with cross-functional team members and senior executives, communication to, and engagement of, suppliers, due diligence compliance process and measurement on the supplier source and chain of custody, record-keeping and escalation procedures.

a. Management Systems - Conflict Minerals Policy

Enphase Energy's Conflict Minerals Policy is as follows:

There has been increased awareness regarding the human rights violations in the mining of certain minerals from an area known as the "Conflict Region": The Democratic Republic of the Congo ("DRC") and the surrounding countries. Through the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 ("Dodd-Frank Act"), publicly traded companies have been chartered to practice reasonable due diligence with their supply chain to determine if tin, tantalum, tungsten and gold ("Conflict Minerals") used in their products are being sourced from mines controlled by non-government or unlawful military groups within the Conflict Region. Enphase Energy is committed to taking all steps to comply with the legislation and is committed to sourcing components and materials from companies that share our values around human rights, ethics and environmental responsibility.

Tracing materials back to their mine of origin is a complex endeavor but an important aspect of responsible sourcing. Enphase Energy looks to industry guidelines to help establish its programs such as the Organization for Economic Co-operation and Development's ("OECD") Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, the joint Electronic Industry Citizen Coalition and the Global e-Sustainability Initiative, which is taking action to address responsible sourcing through the development of the Conflict-Free Smelter program aiming to enable companies to source conflict-free minerals. Given the complexity of Enphase Energy's and its suppliers' respective supply chains, it will take time for many suppliers and sub-suppliers to verify the origin of conflict minerals. We intend to use our supply chain due diligence process to drive accountability within the supply chain to further our goal of conflict-free sourcing.

Enphase Energy continues to develop and implement a strategy to support the objectives to the U.S. regulations on the supply of Conflict Minerals, including:

- Developing and implementing policies and processes toward preventing the use of Conflict Minerals or derivative metals necessary to the functionality or production of our product(s) that finance or benefit armed groups in the Conflict Region.
- Not knowingly procuring specified minerals that originate from facilities in the Conflict Region that are not certified as conflict free.
- Expecting our suppliers to: (i) provide Enphase with Conflict Mineral content and country of origin information on the products it supplies to Enphase; (ii) cooperate with Enphase (or an independent third party auditor) in any review of its supply chain and procurement process, Conflict Mineral audits, and due diligence on its suppliers as required for Enphase's annual SEC disclosure in compliance with the Dodd-Frank Act; and (iii) collaborate with Enphase in developing a chain of custody for these Conflict Minerals in the supply chain and identifying and sourcing conflict-free sources for the minerals used in Enphase products.
- Expecting suppliers whose products contain conflict minerals to establish policies, due diligence frameworks, and management systems consistent with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict – Affected and High Risk-Areas that are designed to accomplish this goal, and requiring their suppliers to do the same.

Enphase Energy believes in establishing and maintaining long-term relationships with suppliers whenever possible. However, if we determine that any supplier is, or a reasonable risk exists that it may be, violating this Policy, then we will require the supplier to commit to devise and undertake suitable corrective action to move to a conflict free source. If suitable action is not taken, we will look for alternative sources for the product. Enphase's efforts are not to ban procurement of minerals from the Conflict Region, but to assure procurement from responsible sources in the region. If we determine that any of the components of our products contain minerals from a mine or facility that is "non-conflict free," we will work towards transitioning to products that are "conflict free."

This policy is publicly available on our website at <https://enphase.com/en-us/conflict-minerals-policy>.

b. Internal Team

Enphase Energy has established a management system for complying with the applicable rules. Our management system is led by our Vice President of Supply Chain, in conjunction with our Vice President & General Counsel. They are supported by a team from relevant functions such as, purchasing, quality assurance, manufacturing and environmental health and safety. The Vice President of Supply Chain is responsible for implementing our Conflict Minerals compliance strategy.

c. Supply Chain Controls

As we do not have a direct relationship with 3TG smelters and refiners, we utilize industry-wide initiatives such as the EICC-GeSI and CFSI to disclose upstream actors in the supply chain.

Controls include our Code of Conduct, which outlines expected behaviors for all Enphase employees and which outlines expected behaviors for all Enphase Energy suppliers.

d. Supplier Engagement

Enphase Energy has engaged Flextronics International Ltd. to reach out to suppliers and sub-suppliers who have yet to participate in CFSP's audit program or have been audited, but are not yet completely certified conflict free. We encourage these suppliers to participate in CFSP's audit program and move towards a conflict free designation as soon as possible. We will endeavor to continually improve our supply chain due diligence by seeking from our material suppliers annual acknowledgments of our Supplier Code of Conduct and other corporate policies, and, to the extent practicable, incorporating Conflict Minerals language in supplier agreements, as they arise.

e. Grievance Mechanism

Enphase Energy has established a Conflict Minerals Policy and a Supplier Code of Conduct in addition to multiple longstanding mechanisms whereby employees and suppliers can report violations of our policies.

f. Records Maintenance

Enphase Energy has established our due diligence compliance process and set forth a documentation and record maintenance mechanism to ensure the retention of relevant documentation in a secured electronic database.

6.2 Identification and Assessment of Risk in the Supply Chain

Because of the complexity of our products, and the depth, breadth, and constant evolution of our supply chain, it is difficult to identify sources upstream from our direct suppliers. Accordingly, we stay abreast of several industry-wide initiatives as described above. Some of the largest suppliers are also SEC registrants and subject to the Rule. We compare the CFSP validated smelter list against those smelters identified by our suppliers and, as described in our Conflict Minerals Policy, we intend to engage any of our suppliers that we have reason to believe are supplying us with 3TG from sources that may support conflict in the Covered Countries to request that they establish an alternative source of 3TG that does not support such conflict, as provided in the OECD guidance.

6.3 Design and Implementation of a Strategy to Respond to Risks

As we move towards further developing our due diligence program, we intend to further enhance supplier communication, training and escalation processes to improve due diligence data accuracy and completion and continue to influence additional smelters to be designated as "conflict-free" through an independent third-party audit program such as the CFSP through our supply chain, where possible. To the extent we are able to determine in the future that we are sourcing from non-conflict free smelters, we plan to move toward using conflict free smelters within a reasonable time frame.

6.4 Independent Third-Party Audit of Supply Chain Due Diligence at Identified Points in the Supply Chain

Enphase Energy does not have a direct relationship with 3TG smelters and refiners, nor do we perform direct audits of these entities that provide 3TG to our supply chain. However, we do rely upon the industry initiatives (for example, the CFSI), as well as industry efforts to influence smelters and refiners to be certified through independent third-party audit programs, such as the CFSP.

7. Due Diligence Results

7.1 Survey Response

Enphase Energy received 125 completed Templates from the 152 suppliers surveyed (a 82.24% completion rate). Of the 125 suppliers that provided complete responses to our survey, 18 indicated that they do not source Conflict Minerals at all, and 32 confirmed that the Conflict Minerals they sourced did not originate in the Covered Countries. Of the remaining 75 suppliers who indicated that Conflict Minerals originated from the Covered Countries, 67 of them reported that their Conflict Minerals were sourced solely from smelters and refiners that are certified conflict free. 8 suppliers reported that they are still in the process of completing due diligence or that the origin of the smelters and refiners is unknown or provided no information.

| Supplier Response | 2019 | 2018 | 2017 | 2016 | 2015 | 2014 | 2013 |
|-----------------------------------|------------------------|------------------------|------------------------|------------------------|----------------------|----------------------|-----------------------|
| Supplier Template Completion Rate | 82.24% (125 of 152) | 90.51% (143 of 158) | 98.46% (128 of 130) | 93.75% (105 of 112) | 94.05% (79 of 84) | 92.86% (91 of 98) | 70.63% (89 of 126) |

| Status of Suppliers | 2019 | 2018 | 2017 | 2016 | 2015 | 2014 |
|---|------------------------|------------------------|-----------------------|-----------------------|-----------------------|----------------------|
| Conflict Minerals Not Originating in Covered Countries or Certified Conflict Free | 93.60% (117 of 125) | 83.22% (119 of 143) | 73.08% (95 of 130) | 75.89% (85 of 112) | 72.62 % (61 of 84) | 70.41% (69 of 98) |
| Still Completing Due Diligence/Origins Unknown | 1.60% (2 of 125) | 16.78% (24 of 143) | 15.38% (20 of 130) | 17.86% (20 of 112) | 21.43% (18 of 84) | 22.45% (22 of 98) |
| Invalid or No Information Provided | 4.80% (6 of 125) | 4.43% (7 of 143) | 10.77% (14 of 130) | 6.25% (7 of 112) | 5.95% (5 of 84) | 7.14% (7 of 98) |

Of the 2 suppliers who required due diligence, none provided responses on a product basis that were specifically applicable to components or types of components furnished to Enphase Energy. 99 of the suppliers that responded to our survey provided responses on a company-wide or user defined basis that was not specifically applicable to components or types of components furnished to the Company. That is, they were unable to represent to us that 3TG from the smelters or refiners they identified had actually been included in the components they supplied to us or our direct suppliers. Of the 79 suppliers who reported on a company-wide basis, 38 of those confirm that they are certified conflict free.

7.2 Efforts to Determine Country of Origin of Mine or 3TG

Tracing materials back to the mine of origin is a complex aspect of responsible sourcing in our supply chain. By adopting methodology outlined by the CFSI's joint industry programs and outreach initiatives and requiring that our suppliers conform with standards that meets the OECD guidelines and report to us using the Template, we have determined that seeking information about 3TG smelters and refiners in our supply chain represents the most reasonable effort we can make to determine the mines or location of origin of the 3TG in our supply chain and responses to such inquiries represents the most reasonable known mine of origin information available. Through this industry joint effort, we have made reasonable efforts to make a reasonable determination of the mines or locations of origin of the 3TG in our supply chain.

7.3 Smelters or Refiners Identified

We were unable to ascertain the specific country of origin and/or chain of custody of all necessary Conflict Minerals processed by the facilities that contributed to our Covered Products because, for this Reporting Period, 27 suppliers (17.76% of total suppliers included in the RCOI scope) either did not complete the Template, provided invalid information, or indicated that they are still in the process of completing due diligence or that the origin of one or more of their smelters and refiners is unknown. From the data we were able to obtain from our suppliers, the countries of origin of the Conflict Minerals processed in facilities in our supply chain are believed to include: Andorra, Australia, Austria, Belgium, Bolivia, Brazil, Canada, Chile, China, Czechia, Estonia, France, Germany, India, Indonesia, Japan, Kazakhstan, the Republic of Korea, Kyrgyzstan, Lithuania, Macedonia, Malaysia, Mexico, the Netherlands, New Zealand, Peru, Philippines, Poland, Russian Federation, Saudi Arabia, Singapore, South Africa, Spain, Sweden, Switzerland, Taiwan, Thailand, Turkey, the United Arab Emirates, the United States of America, Uzbekistan, and Vietnam.

In total, 298 smelters and refiners were identified as potentially in our supply chain. Of those 298 smelter and refiners, 260 are currently certified conflict free, 2 are on the CFSP "Active List" and are currently in the process of becoming compliant, 4 are in communication with CFSP, 1 is identified as noncompliant, and 5 did not provide any response. 23 of the smelters and refiners require outreach and are not currently certified conflict free or their status is unknown, and 3 are currently participating in the audit process, are in communication regarding the audit process, or have agreed to participate in the audit process. Enphase Energy found no reasonable basis for concluding that any of these smelters or refiners sourced Conflict Minerals that finance or benefit armed groups. Set forth in [Annex 1](#) is the list of all known smelters and refiners identified as potentially being in our supply chain.

| Status of All Identified Smelters and Refiners | 2019 | 2018 | 2017 | 2016 | 2015 | 2014 |
|--|------------------------|------------------------|------------------------|------------------------|------------------------|------------------------|
| Certified Conflict Free | 87.25% (260 of 298) | 50.98% (235 of 461) | 83.97% (461 of 549) | 76.40% (246 of 322) | 74.29% (208 of 280) | 54.47% (134 of 246) |
| Currently Participating, In Communication, or Agreed to Participate in Audit Process | 1.01% (3 of 298) | 1.08% (5 of 461) | 3.28% (18 of 549) | 7.45% (24 of 322) | 16.43% (46 of 280) | 23.17% (57 of 246) |
| Outreach Required | 7.72% (23 of 298) | 5.21% (24 of 461) | 12.75% (70 of 549) | 16.15% (52 of 322) | 9.29% (26 of 280) | 22.35% (55 of 246) |

Cautionary Note on Forward-Looking Statements

Forward-looking statements in this CMR are made pursuant to the safe harbor provisions of Section 21E of the Securities Exchange Act of 1934, as amended, and other federal securities laws. Investors are cautioned that statements in this CMR that are not strictly historical statements, including without limitation, the Company's intentions and expectations regarding further supplier engagement and risk mitigation efforts and strategy, constitute forward-looking statements that involve risks and uncertainties. Actual results could differ materially from the forward-looking statements. Risks and uncertainties that could cause actual results to differ include, without limitation, risks and uncertainties associated with the progress of industry and other supply chain transparency and smelter or refiner validation programs for Conflict Minerals (including the possibility of inaccurate information, fraud and other irregularities), inadequate supplier education and knowledge, limitations on the ability or willingness of suppliers to provide more accurate, complete and detailed information and limitations on the Company's ability to verify the accuracy or completeness of any supply chain information provided by suppliers or others.

Annex 1

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|----------|-------------------|---|----------------------------------|------------------------|
| Gold | Compliant | Western Australian Mint trading as The Perth Mint | AUSTRALIA | CID002030 |
| Gold | Compliant | Ögussa Österreichische Gold- und Silber-Scheideanstalt GmbH | AUSTRIA | CID002779 |
| Tantalum | Compliant | Plansee SE Liezen | AUSTRIA | CID002540 |
| Tantalum | Compliant | Plansee SE Reutte | AUSTRIA | CID002556 |
| Tungsten | Compliant | Wolfram Bergbau und Hütten AG | AUSTRIA | CID002044 |
| Gold | Active | Tony Goetz NV | BELGIUM | CID002587 |
| Gold | Compliant | Umicore S.A. Business Unit Precious Metals Refining | BELGIUM | CID001980 |
| Tin | Compliant | Metallo-Chimique N.V. | BELGIUM | CID002773 |
| Tin | Compliant | EM Vinto | BOLIVIA (PLURINATIONAL STATE OF) | CID000438 |
| Tin | Compliant | Operaciones Metalurgical S.A. | BOLIVIA (PLURINATIONAL STATE OF) | CID001337 |
| Gold | Compliant | AngloGold Ashanti Córrego do Sítio Mineração | BRAZIL | CID000058 |
| Gold | Compliant | Umicore Brasil Ltda. | BRAZIL | CID001977 |
| Tantalum | Compliant | LSM Brasil S.A. | BRAZIL | CID001076 |
| Tantalum | Compliant | Mineração Taboca S.A. | BRAZIL | CID001175 |
| Tin | Compliant | Cooperativa Metalurgica de Rondônia Ltda. | BRAZIL | CID000295 |
| Tin | Outreach Required | Estanho de Rondônia S.A. | BRAZIL | CID000448 |
| Tin | Compliant | Magnu's Minerais Metais e Ligas Ltda. | BRAZIL | CID002468 |
| Tin | Compliant | Melt Metais e Ligas S.A. | BRAZIL | CID002500 |
| Tin | Compliant | Resind Indústria e Comércio Ltda. | BRAZIL | CID002706 |
| Tin | Compliant | Soft Metais Ltda. | BRAZIL | CID001758 |
| Tin | Alleged | Super Ligas | BRAZIL | CID002756 |
| Tin | Compliant | White Solder Metalurgia e Mineração Ltda. | BRAZIL | CID002036 |
| Tungsten | Outreach Required | ACL Metais Eireli | BRAZIL | CID002833 |
| Gold | Compliant | Asahi Refining Canada Ltd. | CANADA | CID000924 |
| Gold | Compliant | CCR Refinery - Glencore Canada Corporation | CANADA | CID000185 |
| Gold | Compliant | Royal Canadian Mint | CANADA | CID001534 |
| Gold | Alleged | Baiyin Nonferrous Metals Corporation (BNMC) | CHINA | CID000120 |
| Gold | Outreach Required | Daye Non-Ferrous Metals Mining Ltd. | CHINA | CID000343 |
| Gold | Outreach Required | Gansu Seemine Material Hi-Tech Co., Ltd. | CHINA | CID000522 |
| Gold | Outreach Required | Great Wall Precious Metals Co., Ltd. of CBPM | CHINA | CID001909 |
| Gold | Alleged | GuangDdong JinDing high-tech materials company | CHINA | CID000599 |
| Gold | Alleged | GUANGDONG HUA JIAN TRADE DO.,LTD | CHINA | CID000605 |
| Gold | Outreach Required | Guangdong Jinding Gold Limited | CHINA | CID002312 |
| Gold | Alleged | GUANGDONG JINXIAN GAOXIN CAI LIAO GONG SI | CHINA | CID000611 |
| Gold | Alleged | Guangdong macro jin precious metal smelting | CHINA | CID000612 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|---|------------------------|-------------------------------|
| Gold | Outreach Required | Guoda Safina High-Tech Environmental Refinery Co., Ltd. | CHINA | CID000651 |
| Gold | Alleged | Hang Seng Technology | CHINA | CID000670 |
| Gold | Outreach Required | Hangzhou Fuchunjiang Smelting Co., Ltd. | CHINA | CID000671 |
| Gold | Alleged | Henan Yuguang Gold & Lead Co., Ltd. | CHINA | CID002519 |
| Gold | Compliant | Heraeus Ltd. Hong Kong | CHINA | CID000707 |
| Gold | Alleged | HeTai Gold Mineral GuangDong Ltd. Co. | CHINA | CID000718 |
| Gold | Alleged | Hop Hing electroplating factory Zhejiang | CHINA | CID002739 |
| Gold | Alleged | Hung Cheong Metal Manufacturing Limited | CHINA | CID002904 |
| Gold | Compliant | Inner Mongolia Qiankun Gold and Silver Refinery Share Co., Ltd. | CHINA | CID000801 |
| Gold | Compliant | Jiangxi Copper Co., Ltd. | CHINA | CID000855 |
| Gold | Alleged | Jin Jinyin refining company limited | CHINA | CID000884 |
| Gold | Alleged | Jinlong Copper Co., Ltd. | CHINA | CID000909 |
| Gold | Outreach Required | Lingbao Gold Co., Ltd. | CHINA | CID001056 |
| Gold | Outreach Required | Lingbao Jinyuan Tonghui Refinery Co., Ltd. | CHINA | CID001058 |
| Gold | Outreach Required | Luoyang Zijin Yinhui Gold Refinery Co., Ltd. | CHINA | CID001093 |
| Gold | Compliant | Metalor Technologies (Hong Kong) Ltd. | CHINA | CID001149 |
| Gold | Active | Metalor Technologies (Suzhou) Ltd. | CHINA | CID001147 |
| Gold | Outreach Required | Penglai Penggang Gold Industry Co., Ltd. | CHINA | CID001362 |
| Gold | Alleged | Realized the enterprise co. ltd. | CHINA | CID001515 |
| Gold | Alleged | Shan Dong Huangjin | CHINA | CID001604 |
| Gold | Alleged | Shan Tou Shi Yong Yuan Jin Shu Zai Sheng Co. Ltd. | CHINA | CID001605 |
| Gold | Alleged | Shandon Jin Jinyin Refining Limited | CHINA | CID001607 |
| Gold | Alleged | Shandong Hengbang Smelter Co.,ltd | CHINA | CID001612 |
| Gold | Alleged | Shandong penglai gold smelter | CHINA | CID001616 |
| Gold | Outreach Required | Shandong Tiancheng Biological Gold Industrial Co., Ltd. | CHINA | CID001619 |
| Gold | Alleged | Shandong Yanggu Xiangguang Co. Ltd. | CHINA | CID002614 |
| Gold | Compliant | Shandong Zhaojin Gold & Silver Refinery Co., Ltd. | CHINA | CID001622 |
| Gold | Alleged | Shangdong Humon Smelting Co., Ltd. | CHINA | CID002525 |
| Gold | Alleged | ShangHai YueQiang Metal Products Co. LTD | CHINA | CID001641 |
| Gold | Alleged | Shenzhen Heng Zhong Industry Co.,Ltd. | CHINA | CID001692 |
| Gold | Alleged | Shenzhen Zhonghenglong Real Industry Co., Ltd. | CHINA | CID002527 |
| Gold | Compliant | Sichuan Tianze Precious Metals Co., Ltd. | CHINA | CID001736 |
| Gold | Alleged | Sino-Platinum Metals Co.,Ltd | CHINA | CID001745 |
| Gold | Alleged | Stender Electronic Materials Co., Ltd. | CHINA | CID001786 |
| Gold | Alleged | Super Dragon Technology Co., Ltd | CHINA | CID001810 |
| Gold | Alleged | SuZhou ShenChuang recycling Ltd. | CHINA | CID002743 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|---|------------------------|-------------------------------|
| Gold | Alleged | Taicang City Nancang Metal Material Co.,Ltd | CHINA | CID001844 |
| Gold | Compliant | The Refinery of Shandong Gold Mining Co., Ltd. | CHINA | CID001916 |
| Gold | Alleged | Tong Ling Jin Dian electrical technology CO. LTD. | CHINA | CID001942 |
| Gold | Outreach Required | Tongling Nonferrous Metals Group Co., Ltd. | CHINA | CID001947 |
| Gold | Alleged | Viagra Di precious metals (Zhaoyuan) Co., Ltd. | CHINA | CID002009 |
| Gold | Alleged | WANG TING | CHINA | CID002023 |
| Gold | Alleged | Wuzhong Group | CHINA | CID002063 |
| Gold | Alleged | Xiamen JInbo Metal Co., Ltd. | CHINA | CID002076 |
| Gold | Outreach Required | Yunnan Copper Industry Co., Ltd. | CHINA | CID000197 |
| Gold | Alleged | Zhaojun Maifu | CHINA | CID002201 |
| Gold | Alleged | Zhaoyuan Li Fu Industrial | CHINA | CID002202 |
| Gold | Alleged | ZHAOYUAN LIFUSHIYE Co., Ltd | CHINA | CID002203 |
| Gold | Alleged | Zhe Jiang Guang Yuan Noble Metal Smelting Factory | CHINA | CID002205 |
| Gold | Alleged | Zhongkuang Gold Industry Co.,LTD | CHINA | CID002214 |
| Gold | Alleged | Zhongshan Hyper-Toxic Substance Monopolized Co., Ltd. | CHINA | CID002219 |
| Gold | Alleged | ZHONGSHAN POISON MATERIAL PROPRIETARY CO., LTD | CHINA | CID002221 |
| Gold | Compliant | Zhongyuan Gold Smelter of Zhongjin Gold Corporation | CHINA | CID002224 |
| Gold | Alleged | Zhuhai toxic materials Monopoly Ltd. | CHINA | CID002231 |
| Gold | Compliant | Zijin Mining Group Co., Ltd. Gold Refinery | CHINA | CID002243 |
| Tantalum | Alleged | ANHUI HERRMAN IMPEX CO. | CHINA | CID000059 |
| Tantalum | Compliant | Changsha South Tantalum Niobium Co., Ltd. | CHINA | CID000211 |
| Tantalum | Compliant | Conghua Tantalum and Niobium Smeltry | CHINA | CID000291 |
| Tantalum | Compliant | Duoluoshan | CHINA | CID000410 |
| Tantalum | Compliant | F&X Electro-Materials Ltd. | CHINA | CID000460 |
| Tantalum | Compliant | FIR Metals & Resource Ltd. | CHINA | CID002505 |
| Tantalum | Compliant | Guangdong Zhiyuan New Material Co., Ltd. | CHINA | CID000616 |
| Tantalum | Compliant | Hengyang King Xing Lifeng New Materials Co., Ltd. | CHINA | CID002492 |
| Tantalum | Alleged | Hunan Chenzhou Mining Co., Ltd. | CHINA | CID000768 |
| Tantalum | Compliant | Jiangxi Dinghai Tantalum & Niobium Co., Ltd. | CHINA | CID002512 |
| Tantalum | Compliant | Jiangxi Tuohong New Raw Material | CHINA | CID002842 |
| Tantalum | Compliant | JiuJiang JinXin Nonferrous Metals Co., Ltd. | CHINA | CID000914 |
| Tantalum | Compliant | Jiujiang Tanbre Co., Ltd. | CHINA | CID000917 |
| Tantalum | Compliant | Jiujiang Zhongao Tantalum & Niobium Co., Ltd. | CHINA | CID002506 |
| Tantalum | Compliant | King-Tan Tantalum Industry Ltd. | CHINA | CID000973 |
| Tantalum | Alleged | Nantong Tongjie Electrical Co., Ltd. | CHINA | CID002386 |
| Tantalum | Alleged | Ningxia Non-Ferrous Metal Smeltery | CHINA | CID002905 |
| Tantalum | Compliant | Ningxia Orient Tantalum Industry Co., Ltd. | CHINA | CID001277 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|---|------------------------|-------------------------------|
| Tantalum | Alleged | Shanghai Jiangxi Metals Co., Ltd. | CHINA | CID001634 |
| Tantalum | Compliant | XinXing HaoRong Electronic Material Co., Ltd. | CHINA | CID002508 |
| Tantalum | Compliant | Yanling Jincheng Tantalum Co., Ltd. | CHINA | CID001522 |
| Tantalum | Compliant | Yichun Jin Yang Rare Metal Co., Ltd. | CHINA | CID002307 |
| Tantalum | Compliant | Zhuzhou Cemented Carbide Group Co., Ltd. | CHINA | CID002232 |
| Tin | Compliant | Chenzhou Yunxiang Mining and Metallurgy Co., Ltd. | CHINA | CID000228 |
| Tin | Compliant | China Tin Group Co., Ltd. | CHINA | CID001070 |
| Tin | Outreach Required | CNMC (Guangxi) PGMA Co., Ltd. | CHINA | CID000278 |
| Tin | Alleged | DONGGUAN CITY XIDA SOLDERING TIN PRODUCTS CO | CHINA | CID000376 |
| Tin | Active | Gejiu Fengming Metallurgy Chemical Plant | CHINA | CID002848 |
| Tin | Active | Gejiu Jinye Mineral Company | CHINA | CID002859 |
| Tin | Active | Gejiu Kai Meng Industry and Trade LLC | CHINA | CID000942 |
| Tin | Compliant | Gejiu Non-Ferrous Metal Processing Co., Ltd. | CHINA | CID000538 |
| Tin | Alleged | Gejiu Yunxi Group Corp. | CHINA | CID000553 |
| Tin | Compliant | Gejiu Yunxin Nonferrous Electrolysis Co., Ltd. | CHINA | CID001908 |
| Tin | In Communication | Gejiu Zili Mining And Metallurgy Co., Ltd. | CHINA | CID000555 |
| Tin | Alleged | Guangxi Nonferrous Metals Group | CHINA | CID000626 |
| Tin | Alleged | Guangxi Zhongshan Jin Yi Smelting Co., Ltd. | CHINA | CID000628 |
| Tin | Compliant | Guanyang Guida Nonferrous Metal Smelting Plant | CHINA | CID002849 |
| Tin | Alleged | HeChi Metallurgical Chemical factory | CHINA | CID000687 |
| Tin | Alleged | Hongqiao Metals (Kunshan) Co., Ltd. | CHINA | CID002635 |
| Tin | Compliant | HuiChang Hill Tin Industry Co., Ltd. | CHINA | CID002844 |
| Tin | Outreach Required | Huichang Jinshunda Tin Co., Ltd. | CHINA | CID000760 |
| Tin | Alleged | Hunan Xianghualing tin | CHINA | CID000775 |
| Tin | Alleged | Jiang Jia Wang Technology Co. | CHINA | CID000840 |
| Tin | Compliant | Jiangxi Ketai Advanced Material Co., Ltd. | CHINA | CID000244 |
| Tin | Alleged | Jiangxi Yaosheng Tungsten Co., Ltd. | CHINA | CID002819 |
| Tin | Alleged | JU TAI INDUSTRIAL CO.,LTD. | CHINA | CID000934 |
| Tin | Alleged | LIAN JING | CHINA | CID002281 |
| Tin | Not Applicable | Linwu Xianggui Ore Smelting Co., Ltd. | CHINA | CID001063 |
| Tin | Alleged | Ming Li Jia smelt Metal Factory | CHINA | CID001177 |
| Tin | Active | Nankang Nanshan Tin Manufactory Co., Ltd. | CHINA | CID001231 |
| Tin | Alleged | NANTONG CHUN-YUAN ELECTRONICS CO. | CHINA | CID002469 |
| Tin | Alleged | Old City Metals Processing Co., Ltd. | CHINA | CID001332 |
| Tin | Alleged | Shantou xi kuang | CHINA | CID001653 |
| Tin | Alleged | Shenzhen Anchen Solder Tin Product Co. Ltd | CHINA | CID001675 |
| Tin | Alleged | Shenzhen Hong Chang Metal Manufacturing Factory | CHINA | CID001694 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|--|------------------------|-------------------------------|
| TIN | Alleged | SHENZHEN RED CLOUD CROWN TIN LIMITED | CHINA | CID001704 |
| Tin | Alleged | Sichuan Guanghan Jiangnan casting smelters | CHINA | CID001731 |
| Tin | Alleged | SIGMA TIN ALLOY CO., LTD | CHINA | CID002408 |
| Tin | Alleged | Solder Court Ltd. | CHINA | CID002436 |
| Tin | Alleged | SPTE | CHINA | CID001780 |
| Tin | Alleged | SUZHOU NUONENGDA CHEMICAL CO.,LTD | CHINA | CID001822 |
| Tin | Alleged | Taiwan Qing Gao Qi Ye You Xian Gong Si | CHINA | CID002417 |
| Tin | Alleged | Three green surface technology limited company | CHINA | CID001920 |
| Tin | Alleged | Tianshui ling bo technology co., Ltd | CHINA | CID001929 |
| Tin | Alleged | TIN PLATING GEJIU | CHINA | CID001932 |
| Tin | Alleged | TONG LONG | CHINA | CID001943 |
| Tin | Alleged | TOP-TEAM TECHNOLOGY (SHENZHEN) LIMITED | CHINA | CID001954 |
| Tin | Alleged | Wang Yu Manufacturing Co. Ltd. | CHINA | CID002024 |
| Tin | Alleged | Wu Xi Shi Yi Zheng Ji Xie She Bei Company | CHINA | CID002054 |
| Tin | Alleged | WUJIANG CITY LUXE TIN FACTORY | CHINA | CID002057 |
| Tin | Alleged | Xiamen Honglu Tungsten Molybdenum Co., Ltd. | CHINA | CID002428 |
| Tin | Alleged | Xianghualing Tin Industry Co., Ltd. | CHINA | CID002946 |
| Tin | Alleged | Xianghualing Tin Minerals | CHINA | CID002088 |
| Tin | Alleged | Xin Furukawa Metal (Wuxi) Co., Ltd. | CHINA | CID002090 |
| Tin | Alleged | XURI | CHINA | CID002099 |
| Tin | Alleged | Yao Zhang | CHINA | CID002110 |
| Tin | Alleged | YH(Yunnan) | CHINA | CID002115 |
| Tin | Alleged | Yifeng Tin | CHINA | CID002121 |
| Tin | Alleged | Yiquan Manufacturing | CHINA | CID002123 |
| Tin | Alleged | Yuecheng Tin com.,LTD | CHINA | CID002147 |
| Tin | Active | Yunnan Chengfeng Non-ferrous Metals Co., Ltd. | CHINA | CID002158 |
| Tin | Alleged | Yunnan Chengo Electric Smelting Plant | CHINA | CID002162 |
| Tin | Alleged | Yunnan Copper Zinc Industry Co., Ltd. | CHINA | CID002164 |
| Tin | Alleged | Yunnan Industrial Co., Ltd. | CHINA | CID002173 |
| Tin | Compliant | Yunnan Tin Company Limited | CHINA | CID002180 |
| Tin | Alleged | Zhongfahao Wujin Zhipin Youxian Gongsi | CHINA | CID002434 |
| Tin | Alleged | Zhuhai Quanjia | CHINA | CID002230 |
| Tungsten | Compliant | Chenzhou Diamond Tungsten Products Co., Ltd. | CHINA | CID002513 |
| Tungsten | Compliant | Chongyi Zhangyuan Tungsten Co., Ltd. | CHINA | CID000258 |
| Tungsten | Not Applicable | Dayu Jincheng Tungsten Industry Co., Ltd. | CHINA | CID002518 |
| Tungsten | Outreach Required | Dayu Weiliang Tungsten Co., Ltd. | CHINA | CID000345 |
| Tungsten | Compliant | Fujian Jinxin Tungsten Co., Ltd. | CHINA | CID000499 |
| Tungsten | Not Applicable | Ganxian Shirui New Material Co., Ltd. | CHINA | CID002531 |
| Tungsten | Alleged | Ganzhou Haichuang Tungsten Industry Co., Ltd. | CHINA | CID002645 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|---|------------------------|-------------------------------|
| Tungsten | Compliant | Ganzhou Huaxing Tungsten Products Co., Ltd. | CHINA | CID000875 |
| Tungsten | Compliant | Ganzhou Jiangwu Ferrotungsten Co., Ltd. | CHINA | CID002315 |
| Tungsten | Not Applicable | Ganzhou Non-ferrous Metals Smelting Co., Ltd. | CHINA | CID000868 |
| Tungsten | Compliant | Ganzhou Seadragon W & Mo Co., Ltd. | CHINA | CID002494 |
| Tungsten | Non Compliant | Ganzhou Yatai Tungsten Co., Ltd. | CHINA | CID002536 |
| Tungsten | Compliant | Guangdong Xianglu Tungsten Co., Ltd. | CHINA | CID000218 |
| Tungsten | Compliant | Hunan Chuangda Vanadium Tungsten Co., Ltd. Wuji | CHINA | CID002579 |
| Tungsten | Compliant | Hunan Chunchang Nonferrous Metals Co., Ltd. | CHINA | CID000769 |
| Tungsten | Alleged | JIANGSU HETIAN SCI-TECH MATERIAL CO.,LTD | CHINA | CID000844 |
| Tungsten | Compliant | Jiangwu H.C. Starck Tungsten Products Co., Ltd. | CHINA | CID002551 |
| Tungsten | Outreach Required | Jiangxi Dayu Longxintai Tungsten Co., Ltd. | CHINA | CID002647 |
| Tungsten | Compliant | Jiangxi Gan Bei Tungsten Co., Ltd. | CHINA | CID002321 |
| Tungsten | Outreach Required | Jiangxi Minmetals Gao'an Non-ferrous Metals Co., Ltd. | CHINA | CID002313 |
| Tungsten | Compliant | Jiangxi Tonggu Non-ferrous Metallurgical & Chemical Co., Ltd. | CHINA | CID002318 |
| Tungsten | Compliant | Jiangxi Xincheng Tungsten Industry Co., Ltd. | CHINA | CID002317 |
| Tungsten | Compliant | Jiangxi Xiushui Xianggan Nonferrous Metals Co., Ltd. | CHINA | CID002535 |
| Tungsten | Alleged | Luoyang Mudu Tungsten & Molybdenum Technology Co. Ltd | CHINA | CID001091 |
| Tungsten | Compliant | Malipo Haiyu Tungsten Co., Ltd. | CHINA | CID002319 |
| Tungsten | Compliant | South-East Nonferrous Metal Company Limited of Hengyang City | CHINA | CID002815 |
| Tungsten | Alleged | Toshiba Material Co., Ltd | CHINA | CID002423 |
| Tungsten | Compliant | Xiamen Tungsten (H.C.) Co., Ltd. | CHINA | CID002320 |
| Tungsten | Compliant | Xiamen Tungsten Co., Ltd. | CHINA | CID002082 |
| Tungsten | Compliant | Xinfeng Huarui Tungsten & Molybdenum New Material Co., Ltd. | CHINA | CID002830 |
| Tungsten | Compliant | Xinhai Rendan Shaoguan Tungsten Co., Ltd. | CHINA | CID002095 |
| Tungsten | Alleged | Zhangzhou Chuen Bao Apt Smeltery Co., Ltd. | CHINA | CID002195 |
| Gold | In Communication | SAFINA A.S. | CZECH REPUBLIC | CID002290 |
| Tantalum | Compliant | NPM Silmet AS | ESTONIA | CID001200 |
| Gold | In Communication | SAAMP | FRANCE | CID002761 |
| Tungsten | Alleged | ERAMET | FRANCE | CID002915 |
| Gold | Compliant | Allgemeine Gold-und Silberscheideanstalt A.G. | GERMANY | CID000035 |
| Gold | Compliant | Aurubis AG | GERMANY | CID000113 |
| Gold | Compliant | C. Hafner GmbH + Co. KG | GERMANY | CID000176 |
| Gold | Outreach Required | Degussa Sonne / Mond Goldhandel GmbH | GERMANY | CID002867 |
| Gold | Compliant | DODUCO GmbH | GERMANY | CID000362 |
| Gold | Compliant | Heimerle + Meule GmbH | GERMANY | CID000694 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|--|------------------------|-------------------------------|
| Gold | Compliant | Heraeus Precious Metals GmbH & Co. KG | GERMANY | CID000711 |
| Gold | Compliant | SAXONIA Edelmetalle GmbH | GERMANY | CID002777 |
| Gold | Compliant | WIELAND Edelmetalle GmbH | GERMANY | CID002778 |
| Tantalum | Compliant | H.C. Starck Hermsdorf GmbH | GERMANY | CID002547 |
| Tantalum | Compliant | H.C. Starck Tantalum and Niobium GmbH Goslar | GERMANY | CID002545 |
| Tungsten | Compliant | H.C. Starck GmbH | GERMANY | CID002541 |
| Tungsten | Compliant | H.C. Starck Smelting GmbH & Co. KG | GERMANY | CID002542 |
| Gold | Active | Bangalore Refinery | INDIA | CID002863 |
| Gold | Outreach Required | Gujarat Gold Centre | INDIA | CID002852 |
| Gold | Compliant | MMTC-PAMP India Pvt., Ltd. | INDIA | CID002509 |
| Gold | Outreach Required | Sai Refinery | INDIA | CID002853 |
| Tantalum | Compliant | Metallurgical Products India Pvt., Ltd. | INDIA | CID001163 |
| Gold | Compliant | PT Aneka Tambang (Persero) Tbk | INDONESIA | CID001397 |
| Tin | Compliant | CV Ayi Jaya | INDONESIA | CID002570 |
| Tin | Compliant | CV Dua Sekawan | INDONESIA | CID002592 |
| Tin | Compliant | CV Gita Pesona | INDONESIA | CID000306 |
| Tin | Compliant | CV Serumpun Sebalai | INDONESIA | CID000313 |
| Tin | Compliant | CV Tiga Sekawan | INDONESIA | CID002593 |
| Tin | Compliant | CV United Smelting | INDONESIA | CID000315 |
| Tin | Compliant | CV Venus Inti Perkasa | INDONESIA | CID002455 |
| Tin | Alleged | Ney Metals and Alloys | INDONESIA | CID001246 |
| Tin | Compliant | PT Aries Kencana Sejahtera | INDONESIA | CID000309 |
| Tin | Compliant | PT Artha Cipta Langgeng | INDONESIA | CID001399 |
| Tin | Compliant | PT ATD Makmur Mandiri Jaya | INDONESIA | CID002503 |
| Tin | Compliant | PT Babel Inti Perkasa | INDONESIA | CID001402 |
| Tin | Compliant | PT Bangka Prima Tin | INDONESIA | CID002776 |
| Tin | Compliant | PT Bangka Tin Industry | INDONESIA | CID001419 |
| Tin | Compliant | PT Belitung Industri Sejahtera | INDONESIA | CID001421 |
| Tin | Not Applicable | PT BilliTin Makmur Lestari | INDONESIA | CID001424 |
| Tin | Compliant | PT Bukit Timah | INDONESIA | CID001428 |
| Tin | Compliant | PT Cipta Persada Mulia | INDONESIA | CID002696 |
| Tin | Compliant | PT DS Jaya Abadi | INDONESIA | CID001434 |
| Tin | Compliant | PT Eunindo Usaha Mandiri | INDONESIA | CID001438 |
| Tin | Not Applicable | PT Fang Di MulTindo | INDONESIA | CID001442 |
| Tin | Compliant | PT Inti Stania Prima | INDONESIA | CID002530 |
| Tin | In Communication | PT Justindo | INDONESIA | CID000307 |
| Tin | Compliant | PT Karimun Mining | INDONESIA | CID001448 |
| Tin | Compliant | PT Kijang Jaya Mandiri | INDONESIA | CID002829 |
| Tin | Compliant | PT Lautan Harmonis Sejahtera | INDONESIA | CID002870 |
| Tin | Compliant | PT Menara Cipta Mulia | INDONESIA | CID002835 |
| Tin | Compliant | PT Mitra Stania Prima | INDONESIA | CID001453 |
| Tin | Alleged | PT NATARI | INDONESIA | CID001456 |
| Tin | Active | PT O.M. Indonesia | INDONESIA | CID002757 |
| Tin | Compliant | PT Panca Mega Persada | INDONESIA | CID001457 |
| Tin | Not Applicable | PT Pelat Timah Nusantara Tbk | INDONESIA | CID001486 |
| Tin | Compliant | PT Prima Timah Utama | INDONESIA | CID001458 |
| Tin | Compliant | PT Refined Bangka Tin | INDONESIA | CID001460 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|---|------------------------|-------------------------------|
| Tin | Compliant | PT Sariwiguna Binasentosa | INDONESIA | CID001463 |
| Tin | Compliant | PT Stanindo Inti Perkasa | INDONESIA | CID001468 |
| Tin | Compliant | PT Sukses Inti Makmur | INDONESIA | CID002816 |
| Tin | Compliant | PT Sumber Jaya Indah | INDONESIA | CID001471 |
| Tin | Compliant | PT Timah (Persero) Tbk Kundur | INDONESIA | CID001477 |
| Tin | Compliant | PT Timah (Persero) Tbk Mentok | INDONESIA | CID001482 |
| Tin | Compliant | PT Tinindo Inter Nusa | INDONESIA | CID001490 |
| Tin | Not Applicable | PT Tirus Putra Mandiri | INDONESIA | CID002478 |
| Tin | Compliant | PT Tommy Utama | INDONESIA | CID001493 |
| Tin | Outreach Required | PT Wahana Perkit Jaya | INDONESIA | CID002479 |
| Tin | Alleged | Taiwan Huanliang | INDONESIA | CID001852 |
| Gold | Compliant | Chimet S.p.A. | ITALY | CID000233 |
| Gold | Not Applicable | Faggi Enrico S.p.A. | ITALY | CID002355 |
| Gold | Alleged | Safimet Spa. (Gold refiners) | ITALY | CID002973 |
| Gold | Compliant | T.C.A S.p.A | ITALY | CID002580 |
| Gold | Compliant | Aida Chemical Industries Co., Ltd. | JAPAN | CID000019 |
| Gold | Compliant | Asahi Pretec Corp. | JAPAN | CID000082 |
| Gold | Compliant | Asaka Riken Co., Ltd. | JAPAN | CID000090 |
| Gold | In Communication | Chugai Mining | JAPAN | CID000264 |
| Gold | Compliant | Dowa | JAPAN | CID000401 |
| Gold | Compliant | Eco-System Recycling Co., Ltd. | JAPAN | CID000425 |
| Gold | Compliant | Ishifuku Metal Industry Co., Ltd. | JAPAN | CID000807 |
| Gold | Compliant | Japan Mint | JAPAN | CID000823 |
| Gold | Compliant | JX Nippon Mining & Metals Co., Ltd. | JAPAN | CID000937 |
| Gold | Compliant | Kojima Chemicals Co., Ltd. | JAPAN | CID000981 |
| Gold | Alleged | Kosak Seiren | JAPAN | CID000991 |
| Gold | Compliant | Matsuda Sangyo Co., Ltd. | JAPAN | CID001119 |
| Gold | Compliant | Mitsubishi Materials Corporation | JAPAN | CID001188 |
| Gold | Compliant | Nihon Material Co., Ltd. | JAPAN | CID001259 |
| Gold | Alleged | Nihon Superior Co., Ltd. | JAPAN | CID001252 |
| Gold | Alleged | Nohon Material Corporation | JAPAN | CID002285 |
| Gold | Compliant | Ohura Precious Metal Industry Co., Ltd. | JAPAN | CID001325 |
| Gold | Alleged | Senyin | JAPAN | CID002742 |
| Gold | Alleged | Shi Fu Metal Industrial | JAPAN | CID002447 |
| Gold | Compliant | Sumitomo Metal Mining Co., Ltd. | JAPAN | CID001798 |
| Gold | Compliant | Tanaka Kikinzoku Kogyo K.K. | JAPAN | CID001875 |
| Gold | Compliant | Tokuriki Honten Co., Ltd. | JAPAN | CID001938 |
| Gold | Compliant | Yamamoto Precious Metal Co., Ltd. | JAPAN | CID002100 |
| Gold | Alleged | Yamato Denki Ind. Co., Ltd. | JAPAN | CID002102 |
| Gold | Compliant | Yokohama Metal Co., Ltd. | JAPAN | CID002129 |
| Tantalum | Compliant | Global Advanced Metals Aizu | JAPAN | CID002558 |
| Tantalum | Compliant | H.C. Starck Ltd. | JAPAN | CID002549 |
| Tantalum | Compliant | Mitsui Mining and Smelting Co., Ltd. | JAPAN | CID001192 |
| Tantalum | Compliant | Taki Chemical Co., Ltd. | JAPAN | CID001869 |
| Tin | Alleged | Chofu Works | JAPAN | CID002786 |
| Tin | Alleged | Fuji Metal Mining Corp. | JAPAN | CID000498 |
| Tin | Alleged | HARADA METAL INDUSTRY CO. LTD | JAPAN | CID000678 |
| Tin | Alleged | Highjent Technology | JAPAN | CID002363 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|----------|-------------------|--|---|------------------------|
| Tin | Alleged | Hulterworth Smelter | JAPAN | CID002365 |
| Tin | Alleged | Materials Eco-Refining CO.LTD | JAPAN | CID001112 |
| Tin | Alleged | Settu Chemical Industry | JAPAN | CID001597 |
| Tungsten | Compliant | A.L.M.T. TUNGSTEN Corp. | JAPAN | CID000004 |
| Tungsten | Alleged | DAIDO STEEL | JAPAN | CID002349 |
| Tungsten | Compliant | Japan New Metals Co., Ltd. | JAPAN | CID000825 |
| Gold | In Communication | Kazakhmys Smelting LLC | KAZAKHSTAN | CID000956 |
| Gold | Compliant | Kazzinc | KAZAKHSTAN | CID000957 |
| Gold | In Communication | TOO Tau-Ken-Altyn | KAZAKHSTAN | CID002615 |
| Tantalum | Compliant | Ulba Metallurgical Plant JSC | KAZAKHSTAN | CID001969 |
| Gold | Active | Daejin Indus Co., Ltd. | KOREA (REPUBLIC OF) | CID000328 |
| Gold | Compliant | DSC (Do Sung Corporation) | KOREA (REPUBLIC OF) | CID000359 |
| Gold | In Communication | HwaSeong CJ CO., LTD. | KOREA (REPUBLIC OF) | CID000778 |
| Gold | Compliant | Korea Zinc Co., Ltd. | KOREA (REPUBLIC OF) | CID002605 |
| Gold | Compliant | LS-NIKKO Copper Inc. | KOREA (REPUBLIC OF) | CID001078 |
| Gold | Compliant | Samduck Precious Metals | KOREA (REPUBLIC OF) | CID001555 |
| Gold | In Communication | Samwon Metals Corp. | KOREA (REPUBLIC OF) | CID001562 |
| Gold | Compliant | Torecom | KOREA (REPUBLIC OF) | CID001955 |
| Tungsten | Compliant | Woltech Korea Co., Ltd. | KOREA (REPUBLIC OF) | CID002843 |
| Gold | Compliant | Kyrgyzaltyn JSC | KYRGYZSTAN | CID001029 |
| Gold | Outreach Required | State Research Institute Center for Physical Sciences and Technology | LITHUANIA | CID003153 |
| Tantalum | Compliant | Power Resources Ltd. | MACEDONIA (THE FORMER YUGOSLAV REPUBLIC OF) | CID002847 |
| Gold | Active | Modeltech Sdn Bhd | MALAYSIA | CID002857 |
| Tin | Compliant | Malaysia Smelting Corporation (MSC) | MALAYSIA | CID001105 |
| Tin | Alleged | Metahub Industries Sdn. Bhd. | MALAYSIA | CID001136 |
| Tin | Alleged | Stretti | MALAYSIA | CID001788 |
| Gold | Outreach Required | Caridad | MEXICO | CID000180 |
| Gold | Compliant | Metalúrgica Met-Mex Peñoles S.A. De C.V. | MEXICO | CID001161 |
| Tantalum | Compliant | KEMET Blue Metals | MEXICO | CID002539 |
| Gold | In Communication | Remondis Argentia B.V. | NETHERLANDS | CID002582 |
| Gold | Compliant | Schone Edelmetaal B.V. | NETHERLANDS | CID001573 |
| Gold | Outreach Required | Morris and Watson | NEW ZEALAND | CID002282 |
| Tin | Compliant | Minsur | PERU | CID001182 |
| Tin | Alleged | Misue Tin Smelter and Refinery | PERU | CID002385 |
| Gold | Compliant | Bangko Sentral ng Pilipinas (Central Bank of the Philippines) | PHILIPPINES | CID000128 |
| Tin | Compliant | O.M. Manufacturing Philippines, Inc. | PHILIPPINES | CID002517 |
| Tungsten | Compliant | Philippine Chuangxin Industrial Co., Inc. | PHILIPPINES | CID002827 |
| Gold | Active | KGHM Polska Miedz Spółka Akcyjna | POLAND | CID002511 |
| Tin | Compliant | Fenix Metals | POLAND | CID000468 |
| Gold | Compliant | JSC Ekaterinburg Non-Ferrous Metal Processing Plant | RUSSIAN FEDERATION | CID000927 |
| Gold | Compliant | JSC Uralelectromed | RUSSIAN FEDERATION | CID000929 |
| Gold | Outreach Required | Kyshtym Copper-Electrolytic Plant ZAO | RUSSIAN FEDERATION | CID002865 |
| Gold | Compliant | Moscow Special Alloys Processing Plant | RUSSIAN FEDERATION | CID001204 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|---|---------------------------|-------------------------------|
| Gold | Compliant | OJSC "The Gulidov Krasnoyarsk Non-Ferrous Metals Plant" (OJSC Krastsvetmet) | RUSSIAN FEDERATION | CID001326 |
| Gold | Compliant | OJSC Novosibirsk Refinery | RUSSIAN FEDERATION | CID000493 |
| Gold | Compliant | Prioksky Plant of Non-Ferrous Metals | RUSSIAN FEDERATION | CID001386 |
| Gold | Alleged | Shyolkovsky | RUSSIAN FEDERATION | CID001730 |
| Gold | Compliant | SOE Shyolkovsky Factory of Secondary Precious Metals | RUSSIAN FEDERATION | CID001756 |
| Tantalum | Compliant | Solikamsk Magnesium Works OAO | RUSSIAN FEDERATION | CID001769 |
| Tungsten | Compliant | Hydrometallurg, JSC | RUSSIAN FEDERATION | CID002649 |
| Tungsten | Compliant | Moliren Ltd | RUSSIAN FEDERATION | CID002845 |
| Tungsten | Not Applicable | Pobedit, JSC | RUSSIAN FEDERATION | CID002532 |
| Tungsten | Compliant | Unecha Refractory metals plant | RUSSIAN FEDERATION | CID002724 |
| Tin | Non Compliant | Phoenix Metal Ltd. | RWANDA | CID002507 |
| Gold | Outreach Required | L'azurde Company For Jewelry | SAUDI ARABIA | CID001032 |
| Gold | Compliant | Metalor Technologies (Singapore) Pte., Ltd. | SINGAPORE | CID001152 |
| Tin | Alleged | M/s ECO Tropical Resources | SINGAPORE | CID002382 |
| Gold | Compliant | AU Traders and Refiners | SOUTH AFRICA | CID002850 |
| Gold | Compliant | Rand Refinery (Pty) Ltd. | SOUTH AFRICA | CID001512 |
| Gold | Compliant | SEMPSA Joyería Platería S.A. | SPAIN | CID001585 |
| Tin | Compliant | Elmet S.L.U. | SPAIN | CID002774 |
| Gold | Outreach Required | Sudan Gold Refinery | SUDAN | CID002567 |
| Gold | Compliant | Boliden AB | SWEDEN | CID000157 |
| Gold | Compliant | Argor-Heraeus S.A. | SWITZERLAND | CID000077 |
| Gold | Active | Cendres + Métaux S.A. | SWITZERLAND | CID000189 |
| Gold | Compliant | Metalor Technologies S.A. | SWITZERLAND | CID001153 |
| Gold | Compliant | PAMP S.A. | SWITZERLAND | CID001352 |
| Gold | Compliant | PX Précinox S.A. | SWITZERLAND | CID001498 |
| Gold | Compliant | Valcambi S.A. | SWITZERLAND | CID002003 |
| Gold | Alleged | Chin-Leep Enterprise Co., Ltd. | TAIWAN, PROVINCE OF CHINA | CID002903 |
| Gold | Compliant | Singway Technology Co., Ltd. | TAIWAN, PROVINCE OF CHINA | CID002516 |
| Gold | Compliant | Solar Applied Materials Technology Corp. | TAIWAN, PROVINCE OF CHINA | CID001761 |
| Gold | Alleged | Suntain Co.Ltd | TAIWAN, PROVINCE OF CHINA | CID001808 |
| Gold | Alleged | Tsai Brother industries | TAIWAN, PROVINCE OF CHINA | CID002745 |
| Gold | Alleged | WAM Technologies Taiwan Co.,Ltd. | TAIWAN, PROVINCE OF CHINA | CID002020 |
| Tin | Alleged | Jau Janq Enterprise Co. Ltd. | TAIWAN, PROVINCE OF CHINA | CID000822 |
| Tin | Alleged | Minchali Metal Industry Co., Ltd. | TAIWAN, PROVINCE OF CHINA | CID001172 |
| Tin | Alleged | Pan Light Corporation | TAIWAN, PROVINCE OF CHINA | CID001356 |
| Tin | Compliant | Rui Da Hung | TAIWAN, PROVINCE OF CHINA | CID001539 |
| Tin | Alleged | Taiwan high-tech Co., Ltd. | TAIWAN, PROVINCE OF CHINA | CID001851 |
| Tin | Alleged | Taiwan qinggao qiye you xian gong si | TAIWAN, PROVINCE OF CHINA | CID001854 |
| Tin | Alleged | Taiwan's lofty Enterprises Ltd. | TAIWAN, PROVINCE OF CHINA | CID001859 |
| Tin | Alleged | WELLEY | TAIWAN, PROVINCE OF CHINA | CID002027 |
| Tungsten | Alleged | Chunbao Carbide Science & Technology Co.,Ltd | TAIWAN, PROVINCE OF CHINA | CID002346 |
| Gold | Compliant | Umicore Precious Metals Thailand | THAILAND | CID002314 |
| Tantalum | Compliant | H.C. Starck Co., Ltd. | THAILAND | CID002544 |
| Tin | Compliant | O.M. Manufacturing (Thailand) Co., Ltd. | THAILAND | CID001314 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|--|--|-------------------------------|
| Tin | Alleged | Thailand Mine Factory | THAILAND | CID001897 |
| Tin | Compliant | Thaisarco | THAILAND | CID001898 |
| Tin | Alleged | Untracore Co., Ltd. | THAILAND | CID001998 |
| Gold | Outreach Required | Atasay Kuyumculuk Sanayi Ve Ticaret A.S. | TURKEY | CID000103 |
| Gold | Compliant | Istanbul Gold Refinery | TURKEY | CID000814 |
| Gold | Compliant | Nadir Metal Rafineri San. Ve Tic. A.S. | TURKEY | CID001220 |
| Gold | Active | Al Etihad Gold Refinery DMCC | UNITED ARAB EMIRATES | CID002560 |
| Gold | Compliant | Emirates Gold DMCC | UNITED ARAB EMIRATES | CID002561 |
| Gold | Outreach Required | Kaloti Precious Metals | UNITED ARAB EMIRATES | CID002563 |
| Gold | Alleged | ENGELHARD LONDON | UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND | CID002691 |
| Gold | Compliant | Advanced Chemical Company | UNITED STATES OF AMERICA | CID000015 |
| Gold | Compliant | Asahi Refining USA Inc. | UNITED STATES OF AMERICA | CID000920 |
| Gold | Outreach Required | AURA-II | UNITED STATES OF AMERICA | CID002851 |
| Gold | Outreach Required | Elemetal Refining, LLC | UNITED STATES OF AMERICA | CID001322 |
| Gold | Active | Geib Refining Corporation | UNITED STATES OF AMERICA | CID002459 |
| Gold | Compliant | Kennecott Utah Copper LLC | UNITED STATES OF AMERICA | CID000969 |
| Gold | Compliant | Materion | UNITED STATES OF AMERICA | CID001113 |
| Gold | Compliant | Metalor USA Refining Corporation | UNITED STATES OF AMERICA | CID001157 |
| Gold | Alleged | Nyrstar Metals | UNITED STATES OF AMERICA | CID001313 |
| Gold | Alleged | Precious Metals Sales Corp. | UNITED STATES OF AMERICA | CID002581 |
| Gold | Compliant | Republic Metals Corporation | UNITED STATES OF AMERICA | CID002510 |
| Gold | Alleged | Rio Tinto Group | UNITED STATES OF AMERICA | CID002914 |
| Gold | Outreach Required | Sabin Metal Corp. | UNITED STATES OF AMERICA | CID001546 |
| Gold | Outreach Required | So Accurate Group, Inc. | UNITED STATES OF AMERICA | CID001754 |
| Gold | Compliant | United Precious Metal Refining, Inc. | UNITED STATES OF AMERICA | CID001993 |
| Tantalum | Alleged | Advanced Metallurgical Group N.V. (AMG) | UNITED STATES OF AMERICA | CID002620 |
| Tantalum | Compliant | D Block Metals, LLC | UNITED STATES OF AMERICA | CID002504 |
| Tantalum | Not Applicable | E.S.R. Electronics | UNITED STATES OF AMERICA | CID002590 |
| Tantalum | Compliant | Exotech Inc. | UNITED STATES OF AMERICA | CID000456 |
| Tantalum | Compliant | Global Advanced Metals Boyertown | UNITED STATES OF AMERICA | CID002557 |
| Tantalum | Compliant | H.C. Starck Inc. | UNITED STATES OF AMERICA | CID002548 |
| Tantalum | Compliant | Hi-Temp Specialty Metals, Inc. | UNITED STATES OF AMERICA | CID000731 |
| Tantalum | Compliant | KEMET Blue Powder | UNITED STATES OF AMERICA | CID002568 |
| Tantalum | Compliant | QuantumClean | UNITED STATES OF AMERICA | CID001508 |
| Tantalum | Compliant | Telex Metals | UNITED STATES OF AMERICA | CID001891 |
| Tantalum | Compliant | Tranzact, Inc. | UNITED STATES OF AMERICA | CID002571 |
| Tin | Compliant | Alpha | UNITED STATES OF AMERICA | CID000292 |
| Tin | Alleged | Arco Alloys | UNITED STATES OF AMERICA | CID002809 |
| Tin | Compliant | Metallic Resources, Inc. | UNITED STATES OF AMERICA | CID001142 |
| Tin | Alleged | Shapiro | UNITED STATES OF AMERICA | CID001659 |
| Tin | Alleged | Spectro Alloys Corp | UNITED STATES OF AMERICA | CID002411 |
| Tin | Alleged | TAP | UNITED STATES OF AMERICA | CID001882 |
| Tungsten | Compliant | Global Tungsten & Powders Corp. | UNITED STATES OF AMERICA | CID000568 |
| Tungsten | Compliant | Kennametal Fallon | UNITED STATES OF AMERICA | CID000966 |
| Tungsten | Compliant | Kennametal Huntsville | UNITED STATES OF AMERICA | CID000105 |
| Tungsten | Compliant | Niagara Refining LLC | UNITED STATES OF AMERICA | CID002589 |

| Metal | Comments | Smelter Name | Smelter Country | Smelter Identification |
|--------------|-------------------|---|------------------------|-------------------------------|
| Gold | Compliant | Almalyk Mining and Metallurgical Complex (AMMC) | UZBEKISTAN | CID000041 |
| Gold | Active | Navoi Mining and Metallurgical Combinat | UZBEKISTAN | CID001236 |
| Tin | Outreach Required | An Thai Minerals Co., Ltd. | VIET NAM | CID002825 |
| Tin | Active | An Vinh Joint Stock Mineral Processing Company | VIET NAM | CID002703 |
| Tin | Active | Electro-Mechanical Facility of the Cao Bang Minerals & Metallurgy Joint Stock Company | VIET NAM | CID002572 |
| Tin | Outreach Required | Nghe Tinh Non-Ferrous Metals Joint Stock Company | VIET NAM | CID002573 |
| Tin | Outreach Required | Tuyen Quang Non-Ferrous Metals Joint Stock Company | VIET NAM | CID002574 |
| Tin | Compliant | VQB Mineral and Trading Group JSC | VIET NAM | CID002015 |
| Tungsten | Compliant | Asia Tungsten Products Vietnam Ltd. | VIET NAM | CID002502 |
| Tungsten | Compliant | Nui Phao H.C. Starck Tungsten Chemicals Manufacturing LLC | VIET NAM | CID002543 |
| Tungsten | Compliant | Tejing (Vietnam) Tungsten Co., Ltd. | VIET NAM | CID001889 |
| Tungsten | Compliant | Vietnam Youngsun Tungsten Industry Co., Ltd. | VIET NAM | CID002011 |
| Gold | Outreach Required | Universal Precious Metals Refining Zambia | ZAMBIA | CID002854 |
| Gold | Outreach Required | Fidelity Printers and Refiners Ltd. | ZIMBABWE | CID002515 |