

RESPONSE FROM APPLE

We appreciate the concerns Amnesty International raised. As discussed in our recent conversation, we share your interest in and dedication to improving the lives of workers around the world. Apple believes every worker in our supply chain has a right to safe, ethical working conditions.

Underage labor is never tolerated in our supply chain and we are proud to have led the industry in pioneering new safeguards. We not only have strict standards, rigorous audits and industry-leading preventative measures, but we also actively look for any violations. Any supplier found hiring underage workers must 1) fund the worker's safe return home, 2) fully finance the worker's education at a school chosen by the worker and his or her family, 3) continue to pay the worker's wages, and 4) offer the worker a job when he or she reaches the legal age.

We have been reporting on our supply chain for 10 years because we believe transparency and the feedback that comes with it makes us better. Of more than 1.6 million workers covered in 633 audits in 2014, our auditors uncovered 16 cases of underage labor and all were successfully addressed. We take any concerns seriously and investigate every allegation. We engage with our suppliers all over the world, including directly with smelters and refiners. We're also working on site to support programs that educate workers on local laws and protect the rights of miners.

Our efforts around conflict minerals are illustrative of our commitment to forging sustainable solutions to complex challenges deep within our supply chain. In the last 5 years, Apple worked with peers and stakeholders to implement and improve an industry wide standard, drove compliance with the Conflict Free Sourcing Program or equivalent third party audit programs, and expanded traceability to the mine site. As of November 2015, over 95% of our reported smelters are compliant or participating in a third party audit verifying their conflict-free sourcing practices. And we will not stop until we reach our goal of 100%.

Apple goes beyond what is legally required to drive further change in the DRC and neighboring countries. We provide significant funding and strategic guidance to several programs that are increasing the number of registered miners operating in, and selling their materials through, conflict-free channels, providing educational and health care support to mining communities, developing best practices for small scale miners to improve their productivity and health & safety, and improving methods for tracking and trading materials from the mine to the smelter.

Though it would be a simpler solution to stop our suppliers from sourcing from countries where challenges exist such as the DRC, doing so goes against our core value of leaving the world better than we found it.

We are currently evaluating dozens of different materials, including cobalt, in order to identify labor and environmental risks as well as opportunities for Apple to bring about effective, scalable and sustainable change. As we gain a better understanding of the challenges associated with cobalt we believe our work in the African Great Lakes region and Indonesia will serve as important guides for creating lasting solutions.

We know from experience that we can't do this alone, and there are no quick fixes to the complex

challenges in a global supply chain. But we are committed to being a force for change by advocating for and supporting positive government action and partnering with companies and other stakeholders such as Amnesty International working to make a difference. We have made significant progress, though we know our work is never done and will not stop until every person in our supply chain is treated with the respect and dignity they deserve.

DAIMLER

Dr. Wolfram Heger

Senior Manager

Corporate Responsibility Management

Ms. Seema Joshi
Head of Business and Human Rights

AMNESTY INTERNATIONAL
INTERNATIONAL SECRETARIAT
Peter Benenson House, 1 Easton Street
London WC1X 0DW
United Kingdom

Re: The Cobalt Supply Chain and Human Rights Abuses

29th October 2015

Dear Miss Joshi,

I thank you for your letter and questions to Daimler, also on behalf of Dr. Zetsche, as well giving us the opportunity to respond to your concerns.

We have attached the specific answers to your questions separately (see attached), along with the relevant documents which you may want to consult in order to gain a fuller understanding of how we approach the issue of human rights in general and which may complement the individual answers to your questions. These documents are, namely, the Daimler Supplier Sustainability Standards, Integrity Code and Annual Sustainability Report.

In direct response to your overall query, however, we can, after a review via our internal procurement and human rights processes, **confirm that neither Ningbo Shanshan Co. Ltd., nor any of the other companies which were named by you are in fact Daimler suppliers**. Further we would like to emphasize that our procurement function **does not engage in any traceable mineral or commodity purchasing activities in the Democratic Republic of Congo**.

Nevertheless, it is important to us to demonstrate that Daimler is committed to adhering to international human rights standards in line with the UN Guiding Principles on Business and Human Rights, to which you rightly referred to in your letter. We see this commitment as extending to, and including, the ILO core-norms and also, specifically, ILO Norm 182 on the worst forms of child labour. Based upon these standards Daimler rejects generally - in its own operations as well as its supply chain - any work or circumstances which are likely to harm the health, safety or morals of children.

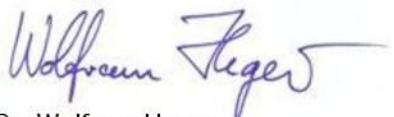
Daimler therefore welcomes and appreciates any effort on part of Amnesty International, or indeed any other part of civil society, to alert us to any possible human rights risks potentially associated with our company's operations, especially where there is a specific indication of reason for concern.

Daimler AG
096-F612
70546 Stuttgart
Germany
Phone [REDACTED]
Fax [REDACTED]
[REDACTED]

We are interested in maintaining positive and productive relationships with all the relevant stakeholders in the field of human rights, especially with a view to establishing channels for constructive dialogue on human rights, to the end of continuously improving our own human rights engagement and engaging with the topic meaningfully.

We therefore hope that we could successfully alleviate your concerns and, beyond this, welcome and invite any further engagement and contact with Amnesty International on the issue of business and human rights more generally.

Kind regards,

A handwritten signature in blue ink, appearing to read "Wolfram Heger".

Dr. Wolfram Heger

Our Feedback to your questions:

Can you confirm whether or not cobalt in your products originates in Katanga in the DRC? Can you also confirm whether or not CDM and Huayou Cobalt process cobalt within your supply chains?

In general our procurement function does not engage in any traceable mineral or commodity purchasing activities in the Democratic Republic of Congo. Concerning the particular case at hand we can confirm that we neither source from the DRC or the mentioned companies directly.

Due to the high complexity of automotive supply chains, we are, however, not able to definitely confirm whether or not cobalt in our products originates from this region or from the mentioned companies at any stage within our supply chains. Motor vehicles are comprised of several thousands of parts and components that are procured from several thousands of suppliers worldwide. There are 3 to 7 tiers in the supply chain separating the raw materials source from the final product and the supply chain is not static but undergoes change on a continuous basis.

What are the policies and practices that your company has in place to identify and prevent human rights abuses in your supply chains, particularly in relation to child labour (e.g. including specific guarantees that you seek from suppliers, checks, etc.)?

Daimler requires all of its suppliers to comply with the relevant regulations and laws. Our "Supplier Sustainability Standards" impose strict obligations with respect to working conditions, social standards, environmental standards and business ethics that go beyond the requirements of the law. These obligations are an integral component of the contractual agreements, which Daimler concludes with its suppliers. By signing the contract, the supplier is expected to implement and verify that these requirements are adhered to by its own suppliers. The relevant document is available for download in ten languages via the Daimler Supplier Portal (<http://supplier.daimler.com>) and is also appended to this letter.

Within these standards we explicitly state that "Child labor is not allowed at any phase of production or processing. As a minimum, suppliers are requested to comply with the ILO's conventions on minimum employment age and the ban on child labor. Children must not be inhibited in their development. Their health and safety must not be impaired".

Our suppliers undertake to comply with these standards, communicate them to their employees, and apply them to their upstream value chains. We support them for this with regular information and training measures.

We regularly assess our suppliers' compliance with sustainability standards on the basis of a risk analysis conducted according to country and commodity group risks.

We see integrity as an indispensable condition for partnerships and collaborations with our business partners, and we take corresponding steps in the event of violations up to and including the termination of the business relationship.

Further information concerning our sustainability management in supplier relationships are provided for you in the current Daimler Sustainability Report (<http://www.daimler.com/sustainability>).

In the event that your company has detected human rights abuses in your cobalt supply chains in the past, particularly those involving child labour, what steps have you taken to address these?

We have not received any information about possible human rights abuses in our cobalt supply chains in the past.

As for our regular approach in the event of suspicious cases or specific violations, we follow up with an established escalation process. We initially compile all available information and act only on the basis of substantiated reports. We inform the suppliers about the allegations and tell them that the relationship of trust has been damaged. We give them an opportunity to state their position and to respond to the allegations. We then evaluate the case and derive the required consequences, up to and including the termination of the business relationship.

What steps has your company taken to publicly disclose its human rights due diligence policies and practices (e.g. annual filings, posted on the website)?

Our company reports annually about its sustainability management in supplier relationships within the Daimler Sustainability Report, where you can find further information on our activities such as supplier trainings and assessments (<http://www.daimler.com/sustainability>).

The Sustainability Report also details the process by which Daimler has approached the issue of human rights more generally until now and how it intends to proceed in this area. As part of this we outline how we have progressed from conducting Human Rights Compliance Assessments on the basis of the Danish Institute for Human Rights' HRCA to developing a company-wide "Human Rights Respect System". We are currently in the process of developing and refining this system, which will be subject continuous development in accordance with the UN Guiding Principles, and will seek to accommodate reports and questions by civil society organization such as the one at hand.

Furthermore, Daimler discusses more detailed information on our human rights approach and due diligence processes at our annual "Daimler Sustainability Dialogue" in which Amnesty International was invited to (and partially participated in) each year. We have not yet received a response from Matthias John for this year's event on November 11 to 12, 2015, but are hopeful for his participation.

RESPONSE FROM HP

As part of our long-standing commitment to global citizenship, we expect our suppliers to conduct their worldwide operations in a socially and environmentally responsible manner pursuant to HP's Supply Chain Social and Environmental Responsibility Policy and consistent with the UN Guiding Principles on Business and Human Rights.

We appreciate the important efforts of Amnesty International to raise global awareness of the risks of human rights violations in artisanal cobalt. Based on the information you provided, we are conducting an investigation with our suppliers. As of now we have not found any linkage between our products and the DRC mine. If a linkage is found, we will take steps to address the risks you have raised.

We pride ourselves on being an ethical company – one where employees are proud to work and a company with which customers, business partners and suppliers want to do business. To that end, we are continuing our efforts to communicate our high standards for suppliers through HP's Supplier Code of Conduct (which prohibits forced, child and prison labor), our Global Human Rights Policy, the California Transparency in Supply Chains Disclosure, and our specialized standards to address unique risks to student and dispatch workers as well as foreign migrant workers in our supply chain.

As an EICC member, we also participate in the identification and sharing of leading practices, and we engage in other collaborative alliances with Verité, Social Accountability International (SAI), the Global Business Initiative on Human Rights (GBI), among others, to exchange information on issues and coordinate on ways to best protect workers in our supply chain.

Sincerely,
Jay Celorie
Jay A. Celorie
Conflict Minerals and Human Rights
Ethics and Compliance Office

RESPONSE FROM HUAWEI

We are grateful to Amnesty International (Your Organisation) for your concerns and care about Huawei. The recent letter entitled "the Cobalt Supply Chain and Human Rights Abuses" from Your Organisation has been received.

Huawei has attached great importance and concern to the situation mentioned in your letter, and immediately contacted the two suppliers, Tianjin Lishen and Coslight, to conduct a review and investigation. Upon investigation by Tianjin Lishen and Coslight, the two suppliers and their upstream suppliers have all confirmed that the cathode materials supplied hadn't used raw materials from Huayou Cobalt, and that the issues mentioned in your letter, such as human rights abuses, haven't been found in their cathode materials supply chain.

As a member of the UN Global Compact and GeSI, Huawei has always put global social responsibility as our goal and conducted ethical purchasing. We clearly prohibit the behaviours mentioned in your letter, such as the use of child labour and abuse of labour rights, and demand all our suppliers to comply. Huawei has now established comprehensive and sound supplier accreditation and management systems to ensure that the suppliers meet sustainability requirements. Based on the Electronics Industry Code of Conduct (EICC), Huawei has developed a sustainability agreement for suppliers covering five parts including labour standards, health and safety, environmental protection, business ethics and management systems. It demands suppliers to comply with the laws and regulations in their host countries or areas as well as international standards, and bear social and environmental responsibilities. Huawei conducts comprehensive and systematic accreditation on all newly introduced suppliers, to evaluate their capacities and levels of compliance with laws, regulations and the sustainability agreement. Huawei asks accredited suppliers to develop plans for continuous improvement and conduct regular internal reviews according to the requirements of the sustainability agreement.

Huawei has progressively imposed the prohibition on the purchase of tantalum, tin and tungsten among suppliers since 2002. In addition, the Company also actively participates in GESI/CFSI (Conflict-Free Sourcing Initiative) to address the issue of conflict minerals with the whole industry.

Lastly, we would like to express our gratitude to Your Organisation for your concerns with and care about Huawei Technology Co., Ltd. Please find attached Huawei Sustainability Report for 2014 and supplier's investigation statement for your reference.

Huawei Technology Co., Ltd.

16/11/2015

STATEMENT FROM TIANJIN LISHEN BATTERY CO., LTD TO HUAWEI

To: Huawei Technology Co., Ltd.

Our Company has received a demand from Huawei to clarify and explain the issue involving serious human rights abuses of children by Congo Dongfang International Mining Ltd, a wholly owned subsidiary of Huayou Cobalt in DR Congo, as mentioned by Amnesty International in London. We now make the following clarifications:

1. We have signed purchasing agreements with our main raw material suppliers. The agreements clearly demand that the products supplied to us must comply with requirements concerning human rights, labour rights and environmental protection;
2. Our current cathode materials supplier, Tianjin Bamo Technology Co., Ltd, has no business dealings with Zhejiang Huayou Cobalt Co., Ltd. The cathode materials supplied to us by Toda Hunan Shanshan New Material Co., Ltd hasn't used raw materials from Huayou Cobalt;
3. Upon receipt of the client's demand for clarification, we have confirmed in writing with our cathode materials suppliers that the cathode materials we currently use have no involvement in any violation of human rights, labour rights and environmental protection, as mentioned by Amnesty International in London.

Tianjin Lishen Battery Co., Ltd.

04/11/2015

STATEMENT FROM HARBIN COSLIGHT POWER CO., LTD TO HUAWEI

To: Huawei

Recently we received your demand to investigate the use of conflict minerals by as well as human rights abuses of our raw material supplier, Tianjin Bamo Technology Co., Ltd. and its upstream suppliers. We make the following statements after the investigation:

1. We have signed an agreement with Tianjin Bamo Technology Co., Ltd strictly prohibiting the use of conflict minerals. Likewise, Tianjin Bamo Technology Co., Ltd has signed letters of undertaking with its upstream suppliers prohibiting the use of conflict minerals and obliging them to protect human rights, labour rights and the environment;
2. The investigation shows that the lithium cobalt oxide purchased by Tianjin Bamo Technology Co., Ltd has been from Jiangsu Cobalt Nickel Metal Co., Ltd and Lanzhou Jinchuan Advanced Materials Technology Co., Ltd., and they have had no business dealings with Zhejiang Huayou Cobalt Co., Ltd. which is involved in the use of conflict minerals. It also verified and confirmed with existing secondary suppliers that there are no issues of the violation of human rights and labour rights as well as environment protection with the currently used lithium cobalt oxide;
3. We therefore declare that the products supplied to Huawei don't contain any conflict minerals or involve in any human rights abuse.

Harbin Coslight Power Co., Ltd

06/11/2015

RESPONSE FROM ZHEJIANG HUAYOU COBALT CO, LTD

Zhejiang Huayou Cobalt Co, Ltd (hereinafter referred to as "Our Company") received the letter entitled Conditions for Artisanal Miners in Zhejiang Huayou Cobalt Supply Chain (hereinafter referred to as "the Letter") from the Amnesty International (hereinafter referred to as "Your Organisation") on 9 July 2015.

The Letter specifically mentioned that Congo Dongfang International Mining Ltd (hereinafter referred to as "CDM"), our subsidiary and cobalt ore supplier, has purchased cobalt produced at the artisanal mines in Katanga Province in the Democratic Republic of Congo (hereinafter referred to as "DRC"), and the cobalt supplied by its cobalt traders has been mined by children in unsafe working conditions. Your Organisation therefore believes that Zhejiang Huayou has not met its responsibility to respect the human rights, as stipulated in the Chinese and international guidelines.

Additionally, Your Organisation requests a response from us to the following questions:

1. What supply chain due diligence policies and processes do we have in place to ensure that CDM's sourcing of cobalt from the DRC does not involve human rights violations, including the worst forms of child labour?
2. What measures does Zhejiang Huayou take if we became aware of human rights abuses taking place in connection with their suppliers?
3. What steps has Zhejiang Huayou taken to investigate the claims made in the 2008 Bloomberg report regarding CDM's purchasing of cobalt mined by children in artisanal mines in the DRC, and what was the outcome of this investigation? Were any changes made to CDM or Zhejiang Huayou policies and processes?
4. What kind of information does Zhejiang Huayou publicly report on the risks of labour and human rights abuses linked to its operations and on preventative or other measures that it is taking in response?
5. What is the volume and value of the cobalt that CDM buys from artisanal miners in the DRC each year?

Our Company's leadership has taken your letter very seriously. Upon sending a reply to you on 23 July 2015, we have conducted comprehensive reviews of the internal policies and suppliers of Our Company and CDM, as well as the information mentioned in the Letter. Here is the response to Your Organisation:

1. Our Company has not been aware that any of our legitimate suppliers has hired child labour in their mining sites or operated in unsafe working conditions.

2. Our Company has taken positive actions since we became aware of the 2008 Bloomberg report regarding CDM's purchase of cobalt mined by children in artisanal mines in the DRC. For example, we have gradually closed down the procurement sites and all of them have been closed by now. Currently the ores for CDM are mainly from mining rights holders and traders.

3. Our Company has developed a Code of Conduct for Suppliers. The Code will apply to Our Company and CDM, and imposes restrictions on the our suppliers and those of CDM for child labour employment and on working conditions. The Code will be quoted and included as part of the procurement and sales contracts between Our Company, CDM and the suppliers. It states clearly that: "If the supplier breaches the Code and fails to implement rectifying actions before the agreed deadline, Our Company will be entitled to suspend purchase from the supplier unilaterally until the supplier implements rectifying actions, or terminate cooperation with the supplier unilaterally". Our Company will meet its social responsibilities by adopting this Code of Conduct. Please see attachment 1 for the Code of Conduct for Suppliers.

4. CDM has rigorously selected its ore suppliers to ensure the procurement of raw materials through legitimate channels. Currently the suppliers of CDM are mining rights holders and traders who legally hold trader cards. (Please see attachments 2, 3 and 4 for copies of trader cards of some of CDM's suppliers). CDM has reasonably presumed that the behaviours of suppliers comply with relevant regulations of the DRC and taken the corresponding social responsibilities.

5. To ensure the mining conditions of suppliers, CDM's management visits the suppliers from time to time to examine the employment conditions of the suppliers. CDM's management recently visited Luputo site in 2014, and Tulwuzenbe site in June 2014. They didn't find any child labour working at any of the sites during these visits. We would like to draw your consideration that the Labour Department of the DRC should be the regulatory body to oversee the legitimacy of employment conditions of the suppliers, and perform regulatory functions. As a business entity, Our Company is not able to assign staff to the suppliers sites to supervise in a long-term manner. We can only visit the suppliers from time to time to meet our social responsibilities. Our Company has not found any cases of child labour employment during these visits.

6. Your Organisation mentions in page 2 of the Letter that CDM has put up a signboard showing the words "good price" outside its depot in Musompo to buy cobalt directly from artisanal miners. But in fact neither CDM nor any of our subsidiaries has depots in Musompo, nor has any of them put up any "good price" signboard as suggested in P.2 and P.9 of your letter. We would like you to verify this information.

Furthermore, we wish to draw your attention to the fraudulent misuse of the names of Our Company and CDM by some local residents of the DRC to purchase mineral products in various regions, as we have learned. This has greatly damaged the reputation and interests of Our Company and CDM.

7. CDM and COMMUS, our subsidiary in the DRC, have actively taken part in public interest activities concerning human rights and social security in the DRC. CDM employees' remuneration include social security and family payments. We also regularly vaccinate employees to ensure their physical health. Attachment 6 is part of the report on the social public interest activities CDM and COMMUS have engaged since 2007. You can see that Our Company has actively participated in public interest activities, and we have put more than US\$5 million into the communities, local social aid, donations and community public interest activities. We will put in more funds for these

purposes. Our Company has always actively met its social responsibilities and carried out more than 80 public interest activities so far.

8. Our Company and CDM welcome the scrutiny of Your Organisation, and are more than willing to work closely with you and improve the situation of child labour and working conditions in the DRC, in order to actively advance human rights protection in the DRC.

Attachment 1 : Code of Conduct for Suppliers of Zhejiang Huayou Cobalt Co, Ltd

Attachment 2: IBC Depot (LI Xuzhang) = Carte d negociant

Attachment 3: CdN Likasi

Attachment 4: Elias depot (JIANG Zhi) = Carte d negociant

Attachment 5: The Accounts of Public Interest Activity Management

CHEN Xuehua

Zhejiang Huayou Cobalt Co., Ltd.

19 August 2015

Zhejiang Huayou Cobalt Co., Ltd.

Code of Conduct for Suppliers

The respect for human rights as well as the protection of labour rights and children's rights are the social responsibilities of Zhejiang Huayou Cobalt Co. Ltd and its subsidiaries (Our Company). To fulfil these responsibilities, we have drawn up this Code of Conduct and demanded our suppliers to comply with it.

1. Scope of the Code of Conduct

This Code of Conduct applies to all suppliers, their subcontractors and sub-suppliers (hereinafter referred to as "Suppliers") that manufacture products for Our Company or provide relevant services for our products or services.

2. Prohibition of Child Labour

(1) Principle of protecting the rights of the child

Our Company supports the Convention on the Rights of the Child adopted by UN in 1989:

Article 3: In all actions concerning children, the best interests of the child shall be a primary consideration.

Article 32.1: ...the right of the child to be protected from economic exploitation and from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral or social development.

(2) Age of employment for children

The minimum age for employment stipulated in this Code is based on the International Labour Organisation's Convention Concerning Minimum Age for Admission to Employment (Convention No.138, 1973). According to the Convention, "children" refers to anybody whose age is less than 15 years. If the legal minimum age for employment or completion of compulsory education as stipulated in the laws of where the suppliers locate is higher,

then the higher age should be adopted. However, in the case of some developing countries where the legal minimum age for employment is 14 years, this lower age should be adopted.

The suppliers pledge that no child labour will be allowed to be hired in the process of provision of goods or services to Our Company.

(3) Methods of employment management

The suppliers of Our Company should always maintain written employment management approaches, and clearly state the minimum age of workers in their policies. The management approaches must be in accordance with applicable laws and regulations. The suppliers should always comply with their written employment management approaches.

3. Anti-discrimination

In the processes of recruitment and employment, the suppliers must not discriminate against workers based on their race, colour, age, gender, sexual orientation, ethnicity, disability, religion, political affiliation, trade union membership, nationality or marital status regarding recruitment, promotion, reward, training opportunities, work arrangement, salary, benefits, discipline, dismissal and retirement.

4. Harsh treatment and harassment

The suppliers of Our Company must pledge that there is no harassing behaviour at workplaces. The suppliers must not threaten workers or subject them to harsh or inhuman treatment, including sexual harassment and abuse, corporal punishment, psychological and physical intimidation or verbal abuse.

5. Involuntary labour

The suppliers of Our Company must not use any form of forced labour, indentured labour, bonded labour or prison labour. All work is voluntary, and workers can leave their positions or through prior application terminate employment. The withholding of any ID documentation, passports or work permits issued by government must not be used as a condition for employing a worker.

6. Health and safety

The suppliers of Our Company must comply with all applicable laws regarding health and safety in the workplace, and provide workplace operation safety training for employees.

The suppliers must provide safe and healthy working environments, and properly manage hazardous materials and the operation of equipment. They also must provide systems and training that help to prevent accidents and injuries.

The suppliers should set up procedures and systems to manage, monitor and report occupational injuries and diseases occurred in the workplace. These procedures and systems should encourage workers to report accidents, categorize and record work injuries and occupational diseases, investigate causes of accidents and implement rectifying programs to root out causes of accidents, and provide necessary treatment to and assist workers to rehabilitate and return to work.

7. Remuneration

The suppliers of Our Company must pay salaries and provide benefits to all their employees fairly according to applicable laws, and the sum must not be lower than legal minimum wage or local sector's minimum pay standard if the latter is higher.

The suppliers must pay overtime and bonus according to the law. They must pay all legally required benefits and not make illegal deductions.

8. Working hours

The suppliers should comply with all applicable international conventions and domestic regulations regarding working hours and overtime work.

9. The suppliers' responsibility to guarantee

The suppliers guarantee that their subcontractors and sub-suppliers comply with this Code.

10. Our Company's right of action

If the supplier breaches the Code and fails to implement rectifying actions before the agreed deadline, Our Company will be entitled to suspend purchase from the supplier unilaterally until the supplier implements rectifying actions, or terminates cooperation with the supplier unilaterally.

RESPONSE FROM INVENTEC APPLIANCES CORP.

We are aware that Amnesty International (AI) has a longstanding dedication to various global human rights issues and rescue actions, and has made extraordinary contributions. As regard to the letter from AI dated October 16 2015, we'd like to make the following explanations:

We are well aware that apart from making profits, corporate citizens must be committed to building a friendly working environment and improving labour rights. We are bound by our corporate responsibilities and have made a lot efforts. For example:

1. In the procurement contracts for electronic components, we clearly demand suppliers in all regions to pledge to fully comply with all local laws and regulations; and guarantee that employees' health and work safety fully complies with local governments' relevant regulations. We also ask them to promise not to use child labour and forced labour, and treat their labour:
 - (1) in accordance with the provisions of the International Labour Organisation;
 - (2) without any discriminatory rules and regimes concerning labour rights; and
 - (3) in compliance with local laws regarding pay schemes and arrangements of working hours.

2. We have asked the suppliers to sign and comply with the Code of Ethics for Inventec's Suppliers (Code of Ethics). This Code of Ethics has been developed in accordance with the Universal Declaration of Human Rights, International Labour Organisation

Conventions, EICC Electronic Industry Code of Conduct, and other human rights and labour rights provisions and their spirits. Inventec expects suppliers to strictly comply with this Code of Ethics, especially the provisions prohibiting child labour and forced labour.

Our company has learned internally that OKWAP hasn't purchased from Coslight Technology International Group. We hope that the information given above will make AI aware of the efforts taken by Inventec as a corporate citizen to be dedicated to meeting its corporate social responsibilities, to urging its suppliers to improve labour conditions, and to complying with international and local standards on labour rights.

Yours Sincerely Chuanxian Lin Legal Manager

Legal Administration Centre
Inventec Appliances Corp.



Date: November 10th, 2015

Seema Joshi
Head of Business and Human Rights
Amnesty International
International Secretariat
Peter Benenson House, 1 Easton Street
London WC1X ODW, United Kingdom

Re: Response to Letters to Mr. Yang Yuanqing and Mr. Rick Osterloh

Dear Ms. Joshi,

We are writing in response to your inquiries to Lenovo and Motorola Mobility, a Lenovo wholly-owned subsidiary, regarding your concern about human rights violations in cobalt mines in the Democratic Republic of the Congo (DRC). We take allegations of this nature seriously and we expect our suppliers to be in full conformance with laws, rules and regulations in the countries in which they operate.

Tianjin Lishen is not currently in the direct supply chain for products manufactured by Lenovo or Motorola. CDM and Huayou Cobalt have not been otherwise identified as cobalt processors in either Lenovo's or Motorola's supply chain, and we have not previously detected human rights abuses in the cobalt supply chain. However, we are aware of two third-party trademark licensees that source batteries from Tianjin Lishen for products they manufacture to be sold under the Motorola brand. We will work with Tianjin Lishen and our trademark licensees to investigate the concerns raised in your letter. If we verify that these concerns are valid, Lenovo will instruct our licensees to discontinue their use of Tianjin Lishen unless or until Tianjin Lishen can demonstrate compliance to Lenovo's requirements. Our agreements with our trademark licensees require them to abide by our Supplier Code of Conduct which prohibits them from using suppliers that utilize child labor.

Lenovo has policies, practices and measures in place to identify and prevent human rights violations in the supply chain for Lenovo and Motorola products. These efforts include environmental and occupational health and safety concerns. Some of our key practices are as follows:

- As a member of the Electronics Industry Citizenship Coalition (EICC), we have adopted the EICC Code of Conduct in the operation of our internal and external supply chain. Specifically, we require our suppliers to sign formal agreements that require them to comply with the EICC Code of Conduct, provide annual formal self-assessments reported through EICC tools, conduct biennial audits with EICC approved third party auditors, and provide Lenovo with the resulting audit reports and corrective action plans. The EICC Code itself and our contracts require that suppliers flow-down these requirements through all tiers of the supply chain, including refiners and smelters. A significant percentage of Lenovo's total procurement spend comes from suppliers who are themselves EICC members and conduct similar operations as a requirement of their EICC membership.



- We participate in the EICC Conflict Free Smelter Initiative (CFSI) programs efforts for due diligence on tin, tantalum, tungsten and gold (3TG) in the Democratic Republic of Congo (DRC) and the surrounding countries. As you may know, the EICC CFSI helps to drive a required multi-industry and multi-level approach that has resulted in development of international standards, practices, and key industry alliances. Most importantly, it has fully supported and coordinated with "in region" efforts for all minerals by the International Congress of the Great Lakes Region (ICGLR) to focus on peace, security, governance, traceability, audits and certifications in the DRC. While the CFSI and hundreds of its member companies currently concentrate on processes related to 3TG in the DRC, Lenovo will continue to support and participate in EICC efforts to develop new programs that address further risks with other minerals and commodities.

Lenovo is committed to transparency and publicly discloses its policies and practices on its website and in annual reports.

- Lenovo publishes a sustainability report annually, available here (http://www.lenovo.com/social_responsibility/us/en/sustainability_reports/) along with many other sustainability resources.
- Since 2009, Lenovo has been a signatory to the United Nations Global Compact and fully embraces its policies and principles. (<https://www.unglobalcompact.org/what-is-gc/participants/6103>).
- We post our commitment to eliminating inappropriate labor practices here (http://www.lenovo.com/social_responsibility/us/en/Lenovo_Eradicating_Slavery_and_Human_Trafficking.pdf). Also please note that the EICC code is broadly consistent with many of the new and forthcoming regulations on human trafficking being put forth by various government around the world.

We appreciate the efforts of Amnesty International and other concerned parties. Lenovo is continually growing the breadth and depth of our programs to understand risk in our supply chain and take action to uphold our commitment to be a responsible corporate citizen.

We ask that we be provided any materials you plan to publish for review before you release them so we have an opportunity to provide any further responses. Please direct any additional correspondence on this matter to William Moss, Sr. Director of Global Corporate Communications. Mr. Moss can be reached by phone at [REDACTED] (GMT-8) or by email at [REDACTED]

Sincerely,

A handwritten signature in black ink, appearing to read "P. D. Hortensius".

Peter D. Hortensius
Chief Sustainability Executive
Chief Technology Officer
Senior Vice President, Lenovo

**RESPONSES TO AMNESTY INTERNATIONAL'S LETTER,
“THE COBALT SUPPLY CHAIN AND HUMAN RIGHTS ABUSES”**

*Seema Joshi
Head of Business and Human Rights
Amnesty International
International Secretariat
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November 13, 2015

As a member of the global society, LG Chem, Ltd. (“LG Chem”) conducts its global business in compliance with all applicable laws and regulations and commits to fulfill its social responsibilities and meet the global highest standards. In order to encourage our business partners to participate in such efforts and also engage them in our commitment, LG Chem is currently making a systematic approach to establishing a policy and process for supply chain CSR management system.

Upon receiving the Letter from Amnesty International which requested our answers to several questions as well as any relevant documents concerning “the cobalt supply chain and human rights abuses,” LG Chem took this matter seriously and paid a close attention to the findings and questions presented in the Letter. We had internal discussions across relevant departments to review our current policy and plans for both immediate actions and gradual improvement. Our investigation into this matter is still continuing; therefore please note that all responses provided below by LG Chem are based on current information and knowledge.

Question 1:

Can you confirm whether or not cobalt in your products originates in Katanga in the DRC?

Response:

Cobalt is a component of cathode materials which are used for production of lithium rechargeable batteries. We requested our suppliers of cathode materials to confirm whether they used cobalt originating in Katanga in the DRC, and one of our 2nd-tier suppliers, Zhejiang Huayou Cobalt Co., Ltd. (“Huayou Cobalt”), has confirmed that their product contains cobalt originating in Katanga in the DRC on October 28th, 2015.

Huayou Cobalt said that the cobalt raw materials are mainly procured from the following three sources [See Appendix 1]:

- a. Cobalt materials from Glencore Mutanda Mining, Tenke and ENRC Boss mining
- b. Cobalt concentrate and crude cobalt hydroxide from Congo Dongfang International Mining Sarl (“CDM”)



- c. Raw materials associated with nickel and cobalt from nickel projects in Australia, new Caledonia and Papua New guinea

Question 2:

Can you also confirm whether or not CDM and Huayou Cobalt process cobalt within your supply chains?

Response:

Yes, Huayou Cobalt which supplies cobalt oxide to one of our cathode materials suppliers, L&F Materials, purchases cobalt concentrate and crude cobalt hydroxide from CDM.

Question 3:

What are the policies and practices that your company has in place to identify and prevent human rights abuses in your supply chains, particularly in relation to child labor (e.g. including specific guarantees that you seek from suppliers, checks, etc.)?

Response:

Every supplier of LG Chem is required to submit and pledge their commitment to Jeong-Do Management, which is LG's unique ethical code of conduct, guiding our employees and suppliers to conduct business in ethical manners.

Also, LG Chem is actively participating in the global initiative on prohibiting the use of conflict minerals (3TG) which cause many severe social issues including human rights violations and labor exploitation. We have two policies in place to control the components of our products – the Eco-friendly Product Development Policy which contains internal management standards on composition of our products; and the Guideline for Eco-Friendly SCM which presents to our suppliers the requirements on composition of materials and products supplied to LG Chem. The conflict minerals have been added to the list of Prohibited Substances (Level 2) in the Policy and Guideline since 2013 [See Appendix 2 & 3].

LG Chem is a member of the LG4 Conflict Mineral Committee which comprises four affiliates of LG Group including LG Electronics, a member of the CFSI (Conflict Free Sourcing Initiative). Through the Committee, the companies are putting together efforts to prohibit the use of conflict minerals by sending out letters to suppliers to provide guidelines and ask for their cooperation [See Appendix 4-1 & 4-2]. The Committee members closely monitor and share the global trend and the list of substances or materials, other than the four minerals currently managed as conflict minerals, which are suspected of causing social issues such as human rights abuses, dangerous working environment and environmentally harmful activities.

In order to make sure that our suppliers comply with our policy, LG Chem has established a process to control the composition of materials from the procurement stage. Every supplier of materials is required to fill out and submit the composition survey form to confirm whether their product contains any of the prohibited ingredients including the conflict minerals [See Appendix 5-1]. If there



exists one, LG Chem requires the supplier to provide the smelter information and a confirmation to guarantee that the mineral is sourced from one of the CFS (Conflict-Free Smelters) [See Appendix 5-2]. Purchase orders cannot be placed without going through this process which is carried out through an IT System. This system is also linked to our internal ERP system, enabling a company-wide management by the product stewardship department who can track and monitor every substance of materials and products at any time [See Appendix 6]. We also provide training sessions on product stewardship to suppliers twice a year, and the training materials include the social issues such as conflict minerals [See Appendix 7].

We will continue to monitor and update our policy on the use of minerals and take actions to restrict or prohibit the use of those which are legally restricted in any parts of the world and confirmed to cause severe damage to social values such as human rights. The use of such minerals in our supply chain will be identified and strictly managed from the procurement stage just like how the conflict minerals are currently being managed.

Question 4:

In the event that your company has detected human rights abuses in your cobalt supply chains in the past, particularly those involving child labor, what steps have you taken to address these?

Response:

As LG Chem is not a direct buyer of minerals including conflict minerals and cobalt, but an indirect user, we have not been able to directly contact the local traders or conduct due diligence on the mines on our own behalf. We, instead, took the approach of requiring our 1st-tier suppliers to conduct investigation and guarantee the results.

In this case, we first asked L&F Materials to contact Huayou Cobalt and confirm the facts and let us know the steps they are taking to prevent further problems. Responses from Huayou Cobalt included the following [See Appendix 1]:

- a. Its wholly owned subsidiary, CDM, gradually closed all of the manually-operated collection spots so far. Currently, it only sources the cobalt concentrate materials from the holders of mining rights and qualified traders.
- b. It has developed the Supplier Code of Conduct, which includes restrictive regulations on child labors and unsafe working conditions. Suppliers have guaranteed their mines had no human rights problem by signing commitment letters and the Purchase and Sale Contract, clearly stating that "if the supplier violates the provisions of the Code and fails to take corrective actions within the agreed period, the Company has reserved the right to unilaterally suspend procurement from such supplier until such supplier implements corrective measure; or has the right to unilaterally terminate cooperation with such supplier."
- c. It strictly screens its mineral suppliers to ensure procurement of raw materials through legitimate means.
- d. The management has paid irregular visits to suppliers and did not find any child labor cases.

Furthermore, we are discussing whether there is a need for us to conduct our own inspection on the cobalt mining areas in Katanga, together with a 3rd-party inspector. If the risk of human rights



violations is confirmed to be very high and serious through the inspection, we will consider taking a wide range of effective actions to stop the violations, such as suspending or terminating business with those suppliers who procure cobalt from such mines.

Also, we have been drafting a Supplier Code of Conduct as a way of encouraging and requiring our suppliers to meet the global standards on the comprehensive social responsibility. The Code, which will be effective starting from 2016, specifically includes a provision on prohibiting the use of materials which have been obtained by illegal or unethical measures and requires the suppliers to perform due diligence practices to guarantee that they are compliant with the Code if necessary. Such requirements must also be demanded to their own suppliers so that all our upstream suppliers are managed under the same standards.

Question 5:

What steps has your company taken to publicly disclose its human rights due diligence policies and practices (e.g. annual filings, posted on the website)?

Response:

Currently, we only publicly disclose our approach on prohibiting the use of conflict minerals on our corporate website and Sustainability Report. As we are in the course of establishing a system to evaluate our suppliers on their CSR management status, we will disclose the process and results of the evaluation on the Sustainability Report once the system has been set in place.

LG Chem is willing to cooperate with you and work together with our supply chain. Please let us know should there be any need for more clarification, and we will continue to follow up with this matter.

Yours sincerely,

LG Chem, Ltd.

[Appendices]

- Appendix 1: Letter from Huayou Cobalt
- Appendix 2: Eco-friendly Product Development Policy
- Appendix 3: Guideline for Eco-Friendly SCM
- Appendix 4: LG4 Conflict Mineral Committee
- Appendix 5: Guarantees from Suppliers
- Appendix 6: ERP System for Substance Management
- Appendix 7: Supplier Training Material



**Letter Concerning Non-existent Violations of Rights and Interests of Child in
Cobalt Raw Materials Supply Chain of Huayou Cobalt Company**

To: LG Chem Co., Ltd.,

We have received a notice from your company concerning that Amnesty International claimed against us and CDM for violations of rights and interests of child in the cobalt raw materials supply chain, and our management has attached great importance to this issue. After we made a comprehensive review on the internal policies of our company and CDM, and information mentioned in the notice of suppliers and your company, we hereby made the following replies:

1. The cobalt raw materials procured by Zhejiang Huayou Cobalt Co., Ltd. (hereinafter referred to as the "Company") are mainly sourced from three aspects: Firstly, procurement of cobalt materials from GLENCORE Mutanda Mining, TENKE and ENRC BOSS MINING; secondly, CONGO DONGFANG INTERNATIONAL MINING SARL (hereinafter referred to as "CDM") supplied cobalt concentrate and crude cobalt hydroxide to our company by means of its owned mines and smelters; thirdly, we purchased raw materials associated with nickel and cobalt from nickel projects in Australia, new Caledonia and Papua New Guinea.
2. We have been concerned about the legality of the source of cobalt raw materials, and have actively taken actions in recent years. For example, CDM gradually closed the manually-operated collection spots. So far, CDM has closed all manually-operated collection spots. Currently, all the cobalt concentrate materials of CDM are sourced from the holders of mining rights and qualified traders.

We have developed the Supplier Code of Conduct. Such Code has been applicable to our company and CDM, and made restrictive regulations on employment of child labors and working conditions for the suppliers of CDM. Such Code has been used in the Purchase and Sale Contract that is recently signed by and between our company, CDM and Supplier, and becomes integral part of Purchase and Sale Contract. It is

clearly stipulated in the Supplier Code of Conduct: "if the supplier violates the provisions of the Code and fails to take corrective actions within the agreed period, the Company has reserved the right to unilaterally suspend procurement from such supplier until such supplier implements corrective measures; or has the right to unilaterally terminate cooperation with such supplier." We will fulfill our social responsibility through the implementation of such Code. See Annex 1 hereof for details of the Supplier Code of Conduct.

4. CDM has performed a rigorous screening on its mineral suppliers to ensure procurement of raw materials through legitimate means. The suppliers of CDM are currently the holder of mining rights and traders holding legal trading cards. CDM can reasonably infer if acts of suppliers comply with the relevant provisions of the Congo (DRC) government and the suppliers take the corresponding social responsibilities.

5. In order to ensure the supplier's mining conditions, the management of CDM has paid irregular visits to suppliers to review their employment conditions. In the process of irregular visits by our company and CDM, we did not find any child labor was employed in any mining area. We believe that the Congo (DRC) labor department should be the regulatory authority to check the legality of employment conditions of suppliers, and competent labor department should fulfill regulatory functions. Both we and CDM, as business entity, cannot designate staffs to the supplier for supervision for a long term. We and CDM can only pad irregular visits to suppliers, and we have done a reasonable duty of care.

6. In fact, we and CDM have learned that some local residents of the Congo (DRC) have collected cobalt minerals in the fake name of our company or CDM, which has so damaged both reputation and interests of our company and CDM. CDM has organized continuous inspections to combat against above-mentioned organizations and individuals as much as possible, with the help of local government authorities, to purify the cobalt mineral trade.

7. We and CDM have actively gotten involved in public welfare undertakings for

human rights and social protection in Congo (DRC). The remuneration paid by CDM to its employees includes the corresponding social security contributions and family pension etc. CDM organized regular vaccination on its employees, so as to ensure their health. We and CDM have invested \$ 5 million for community and local social assistance, donations and participating in community welfare undertakings. We will make further investment to this end.

8. After we received from Amnesty International a letter concerning the Status of Artisanal Miners in Supply Chain of Zhejiang Huayou Cobalt Co. Ltd. in July 2015, we have sent a Reply to Amnesty International Concerning Status of Artisanal Miners in Supply Chain of Zhejiang Huayou Cobalt Co. Ltd. on August 19, 2015, which officially stated and described that there was no human rights violations of child labor in the raw material supply chain of our company and CDM, and elaborated the measures taken and efforts made by our company and CDM to guard against violations of child rights and interests. We will further contact with Amnesty International, to clarify the facts, and eliminate misunderstanding.

Finally, we thank your company for concerns on employment of child labor as our important customer. We are willing to work together with all upstream and downstream companies, including your company, to establish the concept of corporate social responsibility for preventing employment of child labor, and practice corporate social responsibility. We and CDM also welcome supervision from any partners and international organizations. We hope to promote the prohibition in aspect of employment of child labor and improvement of working conditions, and actively promote the movement of protect human rights in DRC.

Yours sincerely,

Zhejiang Huayou Cobalt Co., Ltd.





October 29, 2015

VIA E-MAIL

Ms. Seema Joshi
Head of Business and Human Rights
Amnesty International
Peter Benenson House, 1 Easton Street
London, WC1X ODW, United Kingdom

Re: The Cobalt Supply Chain and Human Rights Abuses

Dear Ms. Joshi:

I am responding to your letter dated October 21 to Satya Nadella on behalf of Microsoft. Thank you for contacting us regarding Amnesty International's research on human rights abuses associated with the artisanal mining of cobalt laden ores. We appreciate the work conducted by Amnesty International in this area and share the same fundamental commitment to responsible and sustainable sourcing.

Microsoft's support of and approach to responsible production of our hardware and packaging encompasses the extraction and harvest of related raw materials. "Microsoft's Responsible Sourcing of Raw Materials" Policy¹ extends our Supplier Code of Conduct² to the furthest reaches of our upstream supply chain in support of human rights, labor, health and safety, environmental protection, and business ethics. This commitment is global in scope and applies to all substances used in our products, unbounded by materials or location.

Our extended strategy for responsible sourcing of raw materials focuses on a combination of building cross-industry sector capability, supporting electronics industry efforts, and working with in-region expert NGOs. Our goal is to support the development of ethical supply chains for our products across all materials regardless of point of origin.

We believe this approach is particularly effective and impactful for companies like Microsoft. We purchase electronics components from suppliers, which themselves do not source raw materials. Tracing metals such as cobalt up through multiple layers of our supply chain is extremely complex. As you no doubt realize from your research, cobalt can

¹ http://download.microsoft.com/download/6/3/E/63E96048-33F6-4DB3-9915-8B974A2A91C7/Responsible_Sourcing_of_Raw_Materials.pdf

² <http://download.microsoft.com/download/F/9/9/F998F8EB-038A-4EEE-8B36-4B87362DBE96/Microsoft-Supplier-Code-of-Conduct-2013.pdf>

take many forms and is used in a multitude of different electronics parts such as PCB/PCBA assemblies, inductors, batteries, transistors, connectors, hard drive assemblies, and even packaging. The complexity of our supply chain is compounded by the fact that the further up the supply chain we navigate, the less influence Microsoft has as an individual company.

Therefore, we have a direct strategy that addresses the root causes of human rights abuses, health and safety failures, and other issues under our Responsible Sourcing of Raw Materials Policy. Related to mining, we participate in and support the Initiative for Responsible Mining Assurance, Pact, and the Alliance for Responsible Mining. As a baseline, these organizations strive to set and implement responsible environmental, human rights, health and safety, and labor standards for all metals mining globally. This holistic view of equity, fairness and human dignity is a passion for Microsoft.

Amnesty International Question: *Can you confirm whether or not cobalt in your products originates in Katanga in the DRC?*

We can confirm that certain components in our products contain cobalt. Microsoft requires 100% identification of all materials used in its packaging and hardware for each and every component by CAS number, percentage and weight. Components in Microsoft products contain many different compounds of cobalt:

- Cobalt and Cobalt Compounds – which contains all CAS nos. with Cobalt and/or a material that contains cobalt (482 CAS nos.)
- Cobalt Dichloride
- Cobalt (II) Carbonate
- Cobalt (II) Diacetate
- Cobalt (II) Dinitrate
- Cobalt (II) Sulphate

Tracking the origin of the cobalt metal in these compounds to the precise mining area is extremely challenging. Due to our supply chain complexity and the in-region co-mingling of materials, we are unable to say with absolute assurance that any or none of our cobalt sources can be traced to ore mined in the Katanga region. To create such a tracing mechanism would require a large degree of vertical and cross-industry collaboration. This is why we have taken a broader and direct approach to address the potential for mining issues through organizations such as Pact (see <http://www.pactworld.org/child-labor>) to raise the global standard of human rights in the mining sector. This work includes specific focus on the misuse of child labor to mine in the Katanga region.

Microsoft desires to improve human rights in the upstream supply chain. Regarding origination of materials, collaborative and in-region efforts are effective and capable of avoiding the adverse and unexpected consequences that *de facto* embargos can have on local communities, miners, and their families. Microsoft has focused on addressing the

human rights issues holistically with both large mining company groups such as IRMA and entities, like Pact, that seek to build the human rights capabilities of small artisanal miners.

Amnesty International Question: *Can you confirm whether or not CDM and Huayou Cobalt process within your supply chains?*

We have investigated the matter and determined that a variety of cobalt compounds are used in many types of electronics components. We have not traced the cobalt used in Microsoft products through our supply chain to the smelter level due to the complexity and resources required. Nonetheless, we have taken steps to improve the responsible mining of cobalt at its source as noted above.

We also investigated our current relationship with Tianjin Lishen. We can confirm that we currently contract with this supplier to provide a very limited number of batteries for a product development project. To our knowledge, Lishen batteries are not used in any product currently sold by Microsoft. Due to the small volumes used, Tianjin Lishen is not listed as a Microsoft contracted supplier on Microsoft's Top 100 Hardware Supplier list.³

We also appreciate your pointing out the use of the Microsoft name on the Lishen website. We took immediate action by asking Tianjin Lishen to remove this reference to Microsoft as it is a misuse of the Microsoft name and implies incorrectly that we have a major contractual relationship. Lishen has complied with Microsoft's request.

Amnesty International Question: *What are the policies and practices that your company has in place to identify and prevent human rights abuses in your supply chains, particularly in relation to child labour (e.g. including specific guarantees that you seek from suppliers, checks, etc.)?*

Microsoft does not tolerate the use of child, involuntary or forced labor in our supply chain. We are committed to the legal, fair treatment and safety of the workers who make our products. These commitments are foundational and included in our Supplier Code of Conduct and Responsible Sourcing of Raw Materials Policy.

To ensure our policies are being followed, we require our suppliers to incorporate our code of conduct and related requirements into their contracts with Microsoft. We train our suppliers and auditors to our specifications and also directly assess our Tier 1 and strategic component suppliers and monitor for such abuses. To eliminate the risk of underage labor, Microsoft does not allow persons under the age of 18 to work on lines dedicated to Microsoft products. We also require our Tier 1 suppliers to monitor further upstream to ensure that laws regarding underage workers are respected and enforced.

³ <http://download.microsoft.com/download/F/3/8/F38AF681-E83A-4645-A9C4-D4F31B8BA8F2/Microsoft%20Top%20100%20Production%20Suppliers.pdf>

Underage labor has become a rarity in our contracted supply chain due to Microsoft's stringent practices. Were an underage worker to be identified, related work would cease immediately. The factory would be required to pay the underage worker wages through his/her majority and safely escort the worker home.

In general, actions for non-compliance with our requirements include at a minimum, corrective action plans and follow up verification audits. Further actions may include increased audit frequency, additional assessment, remedial training, certification requirements, cessation of further business awards until corrective actions are instituted, and termination of the business relationship. In most cases, we are able to influence suppliers to put needed measures in place. We unequivocally support taking immediate actions to address illegal activities.

Amnesty International Question: *In the event that your company has detected human rights abuses in your cobalt supply chains in the past, particularly those involving child labor, what steps have you taken to address these?*

Microsoft has not identified human rights abuses in its upstream supply chain related to cobalt extraction. As part of our holistic efforts to address human rights in our supply chain, we contribute to funding of pilot projects that aim to eradicate child labor from mines in the DRC. One of our long-term partners in DRC is Pact – a non-profit organization recognized for its work on social programs in the copper/cobalt belt of the Katanga region that address child labor elimination, women's empowerment, health and safety, and agriculture.

Microsoft understands there is an ongoing need to eradicate child labor and to find sustaining solutions for the fundamental root causes of the issue. Microsoft welcomes the report by Amnesty International, and the attention to this topic.

Amnesty International Question: *What steps has your company taken to publicly disclose its human rights due diligence policies and practices (e.g. annual filings, posted on the website)?*

Microsoft is committed to transparency. In 2013 we published our Global Human Rights Statement⁴ where we explain our approach, philosophy, key areas of impact and governance in this area. We acknowledge the connection between information and communications technology (ICT) and human rights, and have introduced a "Technology and Human Rights Center" to explore the role business can play in driving respect for human rights. The Center unites Microsoft's various efforts to promote the role of technology in protecting human rights and by fostering a dialogue on these issues with human rights experts and stakeholders.

⁴ <http://www.microsoft.com/en-us/download/details.aspx?id=41958>

In our 2015⁵ and earlier Microsoft Citizenship Reports, we describe our internal programs related to Responsible Sourcing of Raw Materials, including human rights due diligence policies and practices. In addition, our Conflict Minerals Reports are filed annually with SEC and publically posted.⁶

* * * * *

Again, thank you for contacting Microsoft and providing us the opportunity to respond to your questions. We welcome any follow up that you may require and will read your report with great interest.

Sincerely yours,



Joan Krajewski
General Manager
Safety, Compliance & Sustainability
Manufacturing & Supply Chain

cc: Dan Bross, Microsoft

⁵ <http://www.microsoft.com/about/corporatecitizenship/en-us/transparencyhub/citizenship-reporting/>

⁶ <http://www.microsoft.com/about/corporatecitizenship/en-us/working-responsibly/principled-business-practices/responsible-sourcing/>



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Date: 2015.10.30

Dear the Office of International Secretariat at Amnesty International

RE: The Cobalt Supply Chain and Human Rights Abuses

I would like to thank you for your letter of October 16. The protection of human rights is a matter that Samsung Electronics Co., Ltd (Samsung). takes very seriously, and we appreciate that you contacted us with your concerns.

At Samsung, we deeply care about providing ethical and clean workplace for all our employees and employees at our suppliers, and strictly maintain a zero tolerance policy on child labor.

As part of our pledge to zero child labor in the global supply chain, Samsung has taken steps and established strict policies to prevent child labor in our facilities and supplier companies. Samsung established dedicated team to continuously monitor, assess and improve every aspect of working conditions of supplier facilities to meet our own high standards. Since 2012, we have instituted a supplier code of conduct based on Electronic Industry Citizenship Coalition (EICC) guidelines and enforced these policies through the annual self-assessment, on-site audits, and 3rd party audits, which is carried out in forms of both regular and unannounced. If a violation of child labor is found, contracts with suppliers who use child labor will be immediately terminated.

In terms of policy, Samsung has developed a Child Labor Prohibition Policy in collaboration with the Center for Child Rights and Corporate Social Responsibility (part of Save the Children Sweden) to reinforce our commitment to protect vulnerable workers. Our policy specifically outlines measures needed to be taken by Samsung employees in order to ensure there are no child workers employed at our own or suppliers' production facilities.

To ensure our sub-suppliers are also committed to our high standards, Samsung also mandate all of our registered suppliers to complete the annual self-assessment, which is based on EICC checklist. During the annual self-assessment, suppliers are required to submit information about environment, social and health compliance status of their suppliers (or Samsung's sub-suppliers).

In addition to demanding our suppliers to adopt a new hiring process to strengthen ID verification, including face-to-face interviews, we are working with EICC (Electronic Industry Citizenship Coalition) to continuously conduct independent third-party audits and provide educations to our supplier companies.

The following answers specifically address the questions posed in your letter.

1. **Congo Dongfang International Mining (CDM) and Zhejiang Huayou Cobalt Company Limited (Huayou Cobalt):** Both companies are not registered suppliers within our system, thus Samsung does not carry out any business transactions with both companies.
2. **Samsung SDI:** Samsung SDI is a supplier of Samsung Electronics, and we have requested additional information regarding CDM and Huayou Cobalt. We kindly advise you to contact them directly to receive further information about their business relationship with CDM and Huayou Cobalt.
3. **Human Rights Policy:** Samsung has developed human rights policy aligned with UN Guiding Principles on Business and Human Rights, OECD guidelines for multinational enterprises, the UN convention on the Rights of the Child, and the laws of the countries in which we operate. The company's policy on respecting human rights, diversity, and safeguarding our workplace is available through our employee business conduct guideline. In the future, we plan to publish our key findings from Human Rights Impact Assessment of our business operations across the globe.
(Link: <http://www.samsung.com/us/aboutsamsung/sustainability/sustainabilityreports/business-conduct-guidelines-eng-2015.pdf>)

I would like to thank you again for contacting us, and for giving us an opportunity to share our views with you. Please don't hesitate to contact us via the following email address (csr.partner@samsung.com) if you have any questions or concerns.

Thank you.



Sooha Baik, Vice President
Head of Corporate Sustainability Management Office
Samsung Electronics Co., Ltd.



SAMSUNG

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2015.11.23



SAMSUNG SDI

Dear the office of Amnesty International Secretariat

RE: THE COBALT SUPPLY CHAIN AND HUMAN RIGHTS ABUSES

First, we appreciate your concerns and attention towards the human rights protection in Samsung SDI's supply chain. As a part of the commitment to deliver social responsibility, we at Samsung SDI have a great interest in issues such as human rights protection in our supply chain, ban on child labor, and the prohibition of the use of conflict minerals, and continue our efforts to make improvements in relevant areas.

Our answers for your questions are as follows:

1. Can you confirm whether or not cobalt in your products originates in Katanga in the DRC? Can you also confirm whether or not CDM and Huayou Cobalt process cobalt within your supply chains?

The corporate policy of Samsung SDI prohibits the use of minerals originated from conflict-affected areas such as DRC. Thus, the company conducts yearly investigations on our suppliers about the use of concerned minerals and examines the refiners of 3TG,

banned under US SEC's conflict mineral rules. Adding to that, the company investigated the country of origin of cobalt which is not on the current list of conflict minerals. However, in reality, it is very hard to trace the source of the mineral due to suppliers' nondisclosure of information and the complexity of supply chains. Therefore, unfortunately, it is impossible for us to determine whether the cobalt supplied to Samsung SDI comes from DRC Katanga's mine.

As for CDM and Huayou Cobalt, Samsung SDI does not have any direct transactions and the two companies are not in Samsung SDI's supply chain. "L&F Material Co", which is commented as a buyer of cobalt from Huayou, supplies Samsung SDI with cathode materials for batteries. However, the source material of cathode materials that "L&F Material Co" supplies to Samsung SDI comes from a Japanese firm not from Huayou. In regard to the source material of cathode materials, suppliers are required to have an approval from Samsung SDI in its product development stage, which allows Samsung SDI to keep track of the original supplier of concerned materials. (For your information, except for L&F Material Co, Samsung SDI does not have any business relationship with other companies mentioned in your email.) Samsung SDI will continue to monitor the original suppliers of materials covering from product development stage.

2. What are the policies and practices that your company has in place to identify and prevent human rights abuses in your supply chains, particularly in relation to child labour (e.g. including specific guarantees that you seek from suppliers, checks, etc.)?

Samsung SDI operates S-Partner Certification Program as a way to diagnose and improve CSR issues across its supply chain. For all suppliers, Samsung SDI conducts written evaluations and on-site inspections in areas such as human rights, labor, ethics, environment, and health and safety on a two-year basis and awards them with certification.

In 2014, Samsung SDI selected mandatory requirements, including child labor, pollutant discharge facility parameters, and waste treatment methods, and informed its suppliers of the rule that their transactions with Samsung SDI may be terminated if they failed to meet the requirements. In addition, as a part of the commitment to CSR issues, Samsung SDI has required suppliers to sign a written pledge to ban child labor and provided training on compliance for the employees of Samsung SDI's suppliers.

The evaluation items of S-Partner Certification Program satisfy the code of conduct of EICC(Electronic Industry Citizenship Coalition).

* Please refer to Sustainability Report 2014 P66

3. In the event that your company has detected human rights abuses in your cobalt supply chains in the past, particularly those involving child labour, what steps have you taken to address these?

Samsung SDI strictly deals with any major violations of child labor and human right abuses across the entire plants and suppliers around the globe.

Up until now, there has been no case of child labor violations reported or detected from Samsung SDI's plants or suppliers.



SAMSUNG SDI

4. What steps has your company taken to publicly disclose its human rights due diligence policies and practices (e.g. annual filings, posted on the website)?

Through the company's annual Sustainability Report, Samsung SDI discloses the result of CSR due diligence on its suppliers in areas of human rights, labor, health and safety, and ethics.

* Please refer to Sustainability Report 2014 P67

I would like to thank you again for your concerns.

If you have any further questions, please do not hesitate to contact us.
(sustainability@samsung.com)

Thank you.

A handwritten signature in black ink that reads "S. R. Hwang".

Sungrock Hwang, Senior Vice President
Strategic Purchasing Team
SAMSUNG SDI CO. LTD

A handwritten signature in black ink that reads "조재현".

Jae-Hyun Cho, Director
Sustainability Management Office
SAMSUNG SDI CO. LTD

RESPONSE FROM SONY CORPORATION

Thank you for your letter of October 16, 2015 addressed to Kazuo Hirai, President and Chief Executive Officer of Sony Corporation. We are in charge of CSR communications of Sony and would like to reply to your inquiry.

It is Sony Group policy to comply with all applicable laws and regulations of countries and regions in which we operate and to conduct our business activities in an honest and ethical manner. Supply chain management is one of our focus areas, and we have implemented the "Sony Supplier Code of Conduct" for suppliers working with Sony Group. We are working with the suppliers to address issues related to human rights and labor conditions at the production sites, as well as in the procurement of minerals and other raw materials.

Our policy and due diligence practices on responsible sourcing are described on our CSR Report:
http://www.sony.net/SonyInfo/csr_report/sourcing/

As such, Sony has a strong commitment to ethical business conduct and we have a stringent policy and management system to minimize the risk of child labor throughout our supply chain.

With respect to cobalt supply chain and human rights abuses mentioned in your letter, we take this issue seriously and have been conducting a fact-finding process. So far, we could not find obvious results that our products contain the cobalt originated from Katanga in the DRC. We will continue the assessment and pay close attention to this matter.

Thank you very much again for your inquiry.

Best regards,

Mitsu Shippee
Senior Manager, Head of CSR Section
Corporate Communications & CSR Dept.
Sony Corporation



29th October 2015

Mr Seema Joshi
Head of Business & Human Rights
Amnesty International
Peter Benenson House
1 Easton Street,
London
WC1X 0DW

Dear Mr Joshi,

I am writing in response to your letter to Mr Gerard Kleisterlee, Chairman of Vodafone Group, which we received on 20th October. Gerard has asked me to respond on his behalf and provide you with more details of Vodafone's policy and approach with respect to our supply chain and human rights as well as respond to your information request.

We share your concerns and believe that mining activities which violate human rights are unacceptable.

We would like to feedback to your letter in 2 parts:

1. Vodafone's position, policy and process
2. Details about the suppliers mentioned and their relationship to Vodafone

1. Vodafone's position, policy and process:

At Vodafone, we recognise our responsibility to respect human rights and wherever we operate, we work to ensure that we do not infringe on human rights through our operations or business relationships. This responsibility is embodied in our Business Principles and our Code of Conduct. We are committed to respecting the human rights of everyone working for Vodafone either directly as an employee, or indirectly as someone employed by one of our suppliers.

For our suppliers, we demand high ethical, health and safety, social and environmental standards. These are set out in our Code of Ethical Purchasing (which can be found at www.vodafone.com/policies) which is based on Vodafone's values and international standards, including the Universal Declaration of Human Rights and the International Labour Organization's Conventions on Labour Standards. The Code strictly prohibits child labour.

These standards are integrated right from the start of our engagement with suppliers, in the initial qualification process. We then conduct regular site assessments to ensure compliance



and if suppliers consistently fail to meet our standards, we will not work with them. To target improvements further down the supply chain, we work with our suppliers to implement similar standards with their suppliers.

Vodafone does not directly purchase raw minerals, ores or metals and we do not manufacture electronic products. However, we do purchase electronic products from suppliers and, in some cases, have influence over the manufacturing and design of products. Therefore, we have put in place a Conflict Minerals Policy Standard which is publicly available on our website. For ease of reference, the details are below.

Vodafone's Conflict Minerals Policy Standard

Vodafone recognises the risks of significant adverse impacts which may be associated with extracting, trading, handling and exporting minerals from conflict affected areas. The sale of conflict minerals funds rebel armies, fuelling conflict and human rights abuses.

The aim is for all products, which are manufactured or contracted to be manufactured by Vodafone, to be DRC Conflict-Free. This means that the minerals in products can be sourced from:

- mines in countries outside of the DRC or adjoining countries; or
- mines within the DRC or adjoining countries if the appropriate certification and traceability is in place.

Systems are being put in place across industry and within Vodafone and due diligence is being undertaken

Policy Principles

- a) Regarding the extraction, transport or trade of minerals, Vodafone and its suppliers have a responsibility to respect human rights and not contribute to conflict, nor by any means profit from, or contribute to, by any party of any forms of torture, inhumane treatment, forced labour, worst forms of child labour, gross human rights violations, or other serious violations of international humanitarian law, crimes against humanity or genocide.
- b) Where we have influence on the materials, parts, ingredients or components of a product, Vodafone and its suppliers are required to take steps to ensure that conflict minerals do not end up in these products.
- c) Where Vodafone finds products that contain conflict minerals, we will work with suppliers towards removal of conflict minerals from the product. Additionally, Vodafone may suspend purchasing new products from the supplier until the issue is resolved. If a supplier refuses to cooperate and take action towards removal of the conflict mineral source(s) from the



products supplied to Vodafone, or to comply with this Policy Standard, Vodafone may suspend its relationship with the supplier.

We expect our suppliers to be able to source validated conflict-free minerals from the Democratic Republic of Congo and we support industry initiatives such as the Conflict-Free Sourcing Initiative of which we are a member that is making considerable progress in improving the transparency of the mineral supply chain and tackling human rights abuses connected with the mining of conflict minerals.

Conflict Minerals Report

In May 2015, Vodafone published its second Conflict Minerals report available here:
https://www.vodafone.com/content/dam/group/sustainability/downloads/Vodafone_Conflict_Materials_2015.pdf

This is a new reporting requirement for companies listed on the US stock exchange and it provides details of the due diligence activities we carried out to determine the source of any tantalum, tin, tungsten or gold ('3TG') contained in the products where we have influence over manufacturing and design.

It is important to note that cobalt is not one of the minerals which is included in the Conflict Minerals report and therefore subject to the same level of due diligence as the other minerals noted above.

2. Details about the suppliers mentioned and their relationship to Vodafone

In response to your request for information and after undertaking initial internal investigations, we can confirm that we checked our supplier systems and that Tianjin Lishen Battery Joint Stock Company Ltd is not a direct supplier to Vodafone and therefore we do not have a direct contractual relationship with them. For original design manufacturers (ODM) which are branded Vodafone and where we have direct relationships, we do not allow the use of Chinese battery suppliers and Tianjin Lishen Battery Joint Stock Company Ltd is not used in our products. We are not aware if original equipment manufacturers (OEM) such as Apple, Samsung which are named as customers on Tianjin Lishen Battery Joint Stock Company Ltd website use cobalt from these mines as we do not have influence over the design or manufacture. Both the smelters and the mines from which metals such as cobalt are originally sourced are several steps away from Vodafone in the supply chain. For this reason, we are unaware as to whether or not cobalt in our products originates in Katanga in DRC or whether CDM and Huayou Cobalt process cobalt within our supply chains.

We recognise the importance and seriousness of all the issues outlined in your letter and therefore will make contact with our direct suppliers who have a direct relationship with Tianjin Lishen Battery Join Stock Company to make them aware of the issues you have raised, ask for their response and set out Vodafone's expectations.



We are committed to supporting your efforts to ensure child labour is eliminated and human rights are upheld within the supply chain. We welcome the opportunity to discuss with you what more can be done from an industry wide perspective to ensure this applies to the artisanal cobalt mines in the Democratic Republic of Congo.

Yours sincerely,

PP. LAURA TULLINGTON

Annette Fergusson
Senior Sustainability manager
Vodafone Group Services Limited
One Kingdom Street
Paddington Central
London W2 6BY
[REDACTED]

RESPONSE FROM VOLKSWAGEN

CAN YOU CONFIRM WHETHER OR NOT COBALT IN YOUR LITHIUM BATTERIES ORIGINATES IN KATANGA IN THE DRC?

You described in your letter that FAW-VW has a business relationship with both China BAK and Tianjin Lishen. We believe this information was taken from the respective companies' websites.

After analyzing our business relationships, we found that only the relationship with Tianjin Lishen is active.

We contacted our supplier regarding the use of cobalt in lithium batteries and the respective supply chain. The supply chain you mapped out in your letter was refused by our supplier.

To our best knowledge, the Cobalt in our batteries does not originate from the DRC.

CAN YOU ALSO CONFIRM WHETHER OR NOT CDM AND HUAYOU COBALD PROCESS COBALT WITHIN YOUR SUPPLY CHAIN?

To our best knowledge CDM or Huayou Cobalt is not part of our supply chain.

What are the policies and practices that your company has in place to identify and prevent human rights abuses in your supply chains, particularly in relation to child labour (e.g. including specific guarantees that you seek from suppliers, checks, etc.)?

Our supplier relations are based on the “Volkswagen Group requirements regarding sustainability in its relationships with business partners (Code of Conduct for Business Partners)”, They formulate our expectations for our business partners’ conduct with regard to central environmental and social standards. Among other things, they are based on the principles of the UN Global Compact, the International Chamber of Commerce’s Business Charter for Sustainable Development and the relevant conventions of the International Labor Organization. These principles are supplemented by Volkswagen’s Environmental Policy, the environment targets and regulations derived from it, the Group’s Quality Policy and the Volkswagen Declaration on Social Rights.

In our “Volkswagen Group requirements regarding sustainability in its relationships with business partners” child labour is prohibited specifically. The minimum age for permission to work (according to national regulations) is observed.

The Group is concerned about reports regarding the Democratic Republic of Congo and its neighboring countries, where primarily the mining of tin, tantalum (coltan), tungsten, and gold bears the risk of financing armed conflict. In order to prevent human rights abuses caused by the mining of raw materials the Volkswagen Group disclosed the “Volkswagen Conflict Mineral Policy” this year. Volkswagen along with other companies and trade associations welcomes the proposition of improving transparency in the raw materials sector, which is of great importance to the economic development of producing countries. Fair and non-discriminatory access to raw materials is also required.

Economic development partnered with good governance and anti-corruption measures are the key to finding a solution for the situation. Here, and in creating organizational and structural conditions for the implementation of initiatives in the countries of origin, politics plays a decisive role. Volkswagen is also active at various level (eg. Extractive Industries Transparency Initiative (EITI) / advisory body on sustainability in supplier relations of the UN Global Compact). Furthermore, Volkswagen participates in intersectoral networks and working groups (e.g. econsense, CSR Europe) on the issue of human rights in global supply chains.

IN THE EVENT THAT YOUR COMPANY HAS DETECTED HUMAN RIGHTS ABUSES IN YOUR COBALT SUPPLY CHAINS IN THE PAST, PARTICULARLY THOSE INVOLVING CHILD LABOR, WHAT STEPS HAVE YOU TAKEN TO ADDRESS THESE?

To our best knowledge we had no human rights abuses in our cobalt supply chains in the past. In general the Volkswagen Group uses an internal system for sustainable supply chain management. It provides supplier-specific sustainability information, enabling the comprehensive analysis of suppliers. If there is reason to suspect that tier 1 suppliers or their sub-suppliers are failing to comply with our sustainability requirements, we ask the party concerned for a written statement using a standardized report (6D Report). Based on the six points in the report, they can describe the status quo and any remedial measures. The answers are evaluated by a specialized team. If the answers prove unsatisfactory, we take further appropriate steps, such as the examination of documents, visits to the supplier's premises, 3rd party CSR audits or other customized supplier development activities. These measures are coordinated by an ad-hoc expert team in Wolfsburg together with the expert teams from the relevant brands and regions. Depending on the situation, experts from specialist areas such as Occupational Health and Safety or Personnel Management may also be called in. If deviations are revealed, specific improvement measures are agreed with such respective suppliers and followed up by the internal Sustainability in Supplier Relations Network.

WHAT STEPS HAS YOUR COMPANY TAKEN TO PUBLICLY DISCLOSE ITS HUMAN RIGHTS DUE DILIGENCE POLICIES AND PRACTICES (E.G. ANNUAL FILINGS, POSTED ON THE WEBSITE)?

Human rights due diligence policies and practices are annually disclosed in the Volkswagen Sustainability Report. In the Chapter "Supplier Management" Volkswagen informs the public about risk management, sustainability requirement, qualification, monitoring and 3rd party CSR audits of suppliers. Furthermore Volkswagen discloses ad-hoc cases distinguished between geographical distribution, context and type of suppliers. In 2014 for example, 23 suppliers were not compliant with our social standards and in two cases sub-suppliers were involved.

Volkswagen also includes sustainability issues in the Volkswagen Annual Report. In chapter Sustainable Value Enhancement the procurement strategy and process are explained. Sustainability in supplier relations is one of the core topics.

DISCLOSURE OF POLICIES:

Internal Code of Conduct

http://sustainabilityreport2014.volkswagenag.com/sites/default/files/dd_online_link/en/09_Code-of-Conduct.pdf

Volkswagen Group requirements regarding sustainability in its relationships with business partners
<http://sustainabilityreport2013.volkswagenag.com/background/supplementary-information>

“Sustainability in Supplier Relations” brochure
http://sustainabilityreport2013.volkswagenag.com/sites/default/files/dd_online_link/en/22_sisr_brochure_englisch.pdf

Volkswagen Conflict Minerals Policy
http://www.volkswagenag.com/content/vwcorp/info_center/en/publications/2015/07/Volkswagen_Conflict_Minerals_Policy.bin.html/binarystorageitem/file/Volkswagen-Conflict+Minerals+Policy_final.pdf

Survey of Business & Human Rights Resource Center
<http://business-humanrights.org/en/volkswagen-0>