



# SUMMARY REPORT: MANUFACTURER

## AUDITOR CONFORMANCE STATEMENT

<b>Company Name</b>	Lumileds	
<b>CID Number</b>	CID004026, CID004027, CID004028, CID004029, CID004030, CID004031, CID004032	
<b>Assessment Location</b>	Philipsstr. 8, Aachen, Aachen D-52068 Germany	
<b>Assessment Date</b>	08/16/2022 - 08/16/2022	
<b>Assessment Type</b>	Initial Audit	
<b>Contact Information</b>	<b>Company</b>	<b>Auditor</b>
	Name, title: Lutz Kaeseberg Telephone: Email: lutz.kaeseberg@lumileds.com	Name, title: Emily Brennan Telephone: 1111 Email: emily.brennan@artheadvisors.co

## CONFORMANCE STATEMENT

Based on all evidence presented during this assessment:

<b>X</b>	The auditor confirms that there is no reason to believe goods directly or indirectly financed or benefited armed groups that are perpetrators of serious human rights abuses in the DRC or an adjoining country.
<b>X</b>	The auditor confirms that the company's due diligence system is designed in accordance with the OECD Due Diligence Guidance for Responsible Mineral Supply Chains from Conflict-Affected or High-Risk Areas.
<b>X</b>	The auditor confirms that all sources of 3TG are identified and confirmed to be either - Scrap or recycled material (as defined by the OECD DDG); OR - From RMAP (or equivalent) validated companies.
<b>N/A</b>	The auditor confirms that all sources of other minerals/metals included in the scope of the assessment are identified and confirmed to be either - Scrap or recycled material (as defined by the OECD DDG); OR - From facilities that will become RMAP (or equivalent) validated by the time of the next assessment (two year conformance validity)

Note: This is an Assessment Summary Report. The Auditor has submitted the Full Assessment Report to the auditee.

## 1. ASSESSMENT SCOPE

Physical location(s) included in the verification assessment:

FACILITY NAME	CID#	FACILITY ADDRESS	ASSESSMENT DATE(S)
Lumileds Germany GmbH	CID004026	Philips Straße 8, 52068 Aachen, Germany	08/16/2022 - 08/16/2022



<b>Lumileds (Jiaxing) Technology Co., Ltd.</b>	<b>CID004027</b>	Building 4, No. 501, Rixin Road, Nanhu District, Jiaxing City, Zhejiang Province, China	08/16/2022 - 08/16/2022
<b>Lumileds Poland S.A., Ul.  </b>	<b>CID004028</b>	Partyzancka 66/72, PL 95-200 Pabianice, Poland	08/16/2022 - 08/16/2022
<b>Lumileds Malaysia Sdn.  </b>	<b>CID004029</b>	Bhd., Lebuh Kampong Jawa, Bayan Lepas FIZ Phase 3, Bayan Lepas 11900, Pulau Pinang, Malaysia	08/16/2022 - 08/16/2022
<b>Lumileds LLC.</b>	<b>CID004030</b>	W. Trimble Road 350 - 370, San Jose, CA 95131, USA	08/16/2022 - 08/16/2022
<b>Lumileds Singapore Ptd Ltd</b>	<b>CID004031</b>	190, Yishun Avenue 7, Singapore 768925, Singapore	08/16/2022 - 08/16/2022
<b>Lumileds Technology Hubei Co. Ltd.</b>	<b>CID004032</b>	17 Philips Avenue, Songzi City, Hubei Province, China	08/16/2022 - 08/16/2022

**Assessment Scope:**

Processes Reviewed	Answer
Step 1: Establish strong company management systems	X
Step 2: Identify and assess risks in the supply chain	X
Step 3: Design and implement a strategy to respond to identified risks	X
Step 4: Carry out independent third-party audit of supply chain due diligence at identified points in the supply chain	X
Step 5: Report on supply chain due diligence	X

**Minerals in Scope:** Select the appropriate mineral(s).

Mineral	In Scope
Tantalum	X
Tin	X
Tungsten	X
Gold	X
Cobalt	
Other Minerals/Metals	

**Assessment Objective & Criteria**

Facilities participating in the Downstream Assessment Program have often been asked by their customers to demonstrate that their responsible sourcing practices are aligned with the OECD Due Diligence Guidance for Responsible Mineral Supply Chains from Conflict-Affected and High-Risk Areas, and to provide validated information about their due diligence activities. The Downstream Assessment Program is designed to provide this validation for customer requirements across mineral and metal value chains, and to meet the European Union Responsible Minerals Regulation (EU Regulation 2017/821) requirements for EU importers of tin, tantalum, tungsten and gold (3TG) that do not meet the definition of a smelter or refiner.



The objective of the audit is to provide a mechanism for downstream companies to obtain independent validation of conflict-free sourcing practices. The audit is carried out against the following criteria:

1. Requirements of the OECD Due Diligence Guidance for Responsible Mineral Supply Chains from Conflict-Affected or High-Risk Areas; and,
2. All sources of 3TG and/or cobalt are identified and confirmed to be either
  - a. Scrap or recycled material (as defined by the OECD DDG); or
  - b. From RMAP (or equivalent) validated companies.
3. All sources of other minerals/metals included in the scope of the assessment are identified and confirmed to be either
  - a. Scrap or recycled material (as defined by the OECD DDG); or
  - b. From facilities that will become RMAP (or equivalent) validated by the time of the next assessment (two year conformance validity)

## 2. Limitations

## 3. SUMMARY OF FINDINGS

Process	Summary of Findings Provide a high-level summary of findings for each category that is fit for publication.	Corrective Action Status
<b>Step 1: Establish strong company management systems</b>	N/A	conform
<b>Step 2: Identify and assess risks in the supply chain</b>	N/A	Conform
<b>Step 3: Design and implement a strategy to respond to identified risks</b>	N/A	conform
<b>Step 4: Carry out independent third-party audit of supply chain due diligence at identified points in the supply chain</b>	N/A	conform
<b>Step 5: Report on supply chain due diligence</b>	N/A	Conform