



To whom it may concern

Merck KGaA's Due Diligence Obligations

Merck KGaA, Darmstadt, Germany is required to comply with the due diligence obligations of the [EU Conflict Minerals Regulation \(EU\) 2017/821](#) ("the EU Regulation") which has been in force since 1 January 2021.

The EU Regulation lays out supply chain due diligence obligations for importers of tin, tantalum, tungsten, and gold ("3TG") into the European Union. The aim of the regulation is to prevent conflict financing and human rights violations in international supply chains.

Independent Third-Party Assessment

As an importer of tin into the European Union and in accordance with Article 6 (1) of the EU Regulation, Merck KGaA, Darmstadt, Germany engaged an external auditing firm to carry out an independent assessment of its supply chain due diligence processes and procedures.

The company Ernst & Young Gesellschaft mit beschränkter Haftung Wirtschaftsprüfungsgesellschaft ("Ernst & Young") performed a systems-based assessment, covering the period 1 January 2021 – 31 December 2022. The assessment program, consisting of 34 assessment questions, was divided into 5 categories (Management System, Risk Assessment, Risk Management, Third Party Audits and Annual Reporting) to be in line with the EU Regulation as well as the [OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas](#). During the assessment a detailed review of documents as well as all import transactions for the import of tin chloride between 2021 and 2022 was carried out as well as 7 interviews with Merck KGaA stakeholders. The assessment focused on the controls put in place by to comply with the obligations set out in the EU Regulation.

While no violations of current requirements set out in the EU Regulation have been identified, the assessment identified improvement areas regarding certain policies and procedures implemented as part of Merck KGaA, Darmstadt, Germany's Conflict Minerals Due Diligence Program. These include, for example, the revision of the Responsible Minerals Sourcing Charter, and the optimization of procedures. Merck KGaA, Darmstadt, Germany is committed to addressing the points raised during 2023, as part of our continuous improvement.

In line with regulatory requirements, the assessment report was submitted to Deutsche Kontrollstelle EU-Sorgfaltspflichten in Rohstofflieferketten ("DEKSOR"), Germany's national competent authority responsible for the application of this EU Regulation.

Sincerely, Group Procurement

Date: March, 15, 2023

This document is produced electronically and is therefore valid without a signature. The report was prepared after careful research into the actual circumstances and reflects our current state of knowledge. Nevertheless, we cannot assume any liability for the topicality, completeness and correctness of all statements made therein.

Merck KGaA, Darmstadt, Germany
Corporation with General Partners
Frankfurter Str. 250
64293 Darmstadt, Germany
Phone +49 6151 72-0

Sigma-Aldrich Corporation
A subsidiary of Merck KGaA, Darmstadt, Germany
3050 Spruce Street
St. Louis, MO 63103, USA
Phone +1 (800) 521-8956 +1 (314) 771-5765

EMD Millipore Corporation
A subsidiary of Merck KGaA, Darmstadt, Germany
400 Summit Drive
Burlington, MA 01803, USA
Phone +1 (781) 533-6000