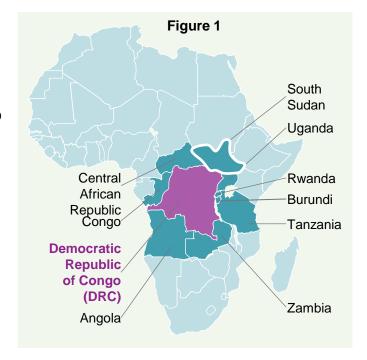
Conflict Minerals Awareness Training



Dodd-Frank Act – Conflict Minerals (Section 1502)

- The intent of the Conflict Minerals provision in the Dodd-Frank Act is to reduce violence in the Democratic Republic of the Congo (DRC) and surrounding countries (Figure 1) funded through exploitation of mining and trade activities.
- This act requires SEC registrants, such as Johnson Controls to identify whether the use of conflict minerals are included in its products via assessment or due diligence of the supply chain.
- On an annual basis (by May 31), companies must report their results on the use of conflict minerals by filing the Form D with the SEC which may declare one of the statuses shown below.
- Company products found to contain conflict minerals must be identified in the company's filing, along with the country of origin and smelter of the conflict minerals in those products.
- Based on findings, companies may be required to have an independent audit performed over their due diligence process.



DRC Conflict Undeterminable

Sources of potential conflict minerals are either:

- Unknown <u>or</u>
- From DRC but not yet determined to be conflict free through Johnson Controls due diligence process

DRC Conflict Free

All sources of potential conflict minerals are:

- Known <u>and</u>
- Determined to be conflict free (including those within DRC)

Not DRC Conflict Free

At least one source of potential conflict minerals are:

- From DRC <u>and</u>
- Determined not to be "DRC Conflict Free"



What are Conflict Minerals?

■ The term "conflict minerals" and their derivatives refers specifically to four metals (referred to together as "3TG") determined by the US government to be financing conflict in the covered countries.

Metal (3TG)	% world-supply from DRC
Tin (Cassiterite)	5%
Tantalum (Columbite-Tantalite)	15%
Tungsten (Walframite)	3%
Gold (Gold Ores)	2%

■ The following slides provide examples of Johnson Controls' use of each of these metals at its business units.

Source: (1) SEC Release No. 34-63547; File No. S7-40-10; (2) U.S. Geological Survey (http://minerals.usgs.gov/minerals); (3) USGS Minerals Handbook 2019 – Gold (http://minerals.usgs.gov/minerals.usgs.gov/minerals.usgs.gov/minerals.usgs.gov/minerals.usgs.gov/minerals.usgs.gov/minerals.usgs.gov/minerals/pubs/commodity/niobium/mcs-2010-tanta.pdf) (6) USGS Minerals Handbook 2008 – Tungsten (http://minerals.usgs.gov/minerals/pubs/commodity/tungsten/myb1-2008-tungs.pdf).



Potential Conflict Minerals Used – Buildings

- Plating of metals
- Alloys (bronze, brass etc.)
- Capacitors
- Metal wires
- Electrodes
- Electrical contacts
- Variable Speed Drives
- Fans
- Compressors
- Circuit breakers
- Controls
- Sensors
- Transformers
- Fasteners
- Heat exchangers
- Coils, tanks, flues, valves
- Motors





Johnson Controls' Compliance Efforts

- Executive Steering Committee was established to oversee and support the company's program.
 - The committee is comprised of representatives from Global Procurement, Legal, Engineering, Communications, Information Technology, Internal Audit, Finance and Regulatory Compliance
- The Johnson Controls compliance framework, conforms to the primary principles of the internationally recognized due diligence framework of the Organization for Economic Co-operation and Development (OECD).
- Assessment is performed at Johnson Controls business units to identify parts, products, and materials—and the suppliers of each—that may contain 3TG.
- The procedures for Reasonable Country of Origin Inquiry (RCOI) and due diligence are performed annually.



Johnson Controls' Compliance Efforts continued

An enterprise conflict minerals policy was developed to comply with the related requirements in the Dodd-Frank Act. Click here to access policy



- Conflict Minerals Report filed by Johnson Controls.
- Click here to access report



Johnson Controls International plc Conflict Minerals Report For the Calendar Year Ended December 31, 2020

I. Background

This is the Conflict Minerals Report ("Report") of Johnson Controls International plc for calendar year 2020 in accordance with Rule 13p-1 under the Securities Exchange Act of 1934 (the "Rule"). As used in this Report, and except where the context otherwise requires, the "Company", "Johnson Controls", "we" and "our" refer to Johnson Controls International plc and its majority-owned subsidiaries and variable interest entities that are required to be consolidated.

The term "conflict mineral" is defined to include cassiterite, columbite-tantalite, gold, and wolframite and their derivatives, including tantalum, tin and tungsten ("3TG"), regardless of their source.

The term "Covered Countries" is defined as the Democratic Republic of the Congo (the "DRC") and the countries adjoining the Democratic Republic of the Congo.

II. Company Overview

Johnson Controls International plc, headquartered in Cork, Ireland, is a global diversified technology and multi-industrial leader, serving a wide range of customers in more than 150 countries. The Company's products and solutions enables smart, energy efficient, sustainable buildings that work seamlessly together to advance the safety, comfort and intelligence of spaces to power its customers' mission. Our commitment to sustainability dates back to our roots in 1885, with the invention of the first electric room thermostat. We are committed to helping our customers win and creating greater value for all of our stakeholders through our strategic focus on buildings. Additional information about the Company and its core businesses may be obtained by accessing Johnson Controls' corporate website at: www.johnsoncontrols.com. A copy of this Report can be found at: http://www.johnsoncontrols.com/corporate-sustainability/reporting-and-policies.



Summary

- Johnson Controls is required to comply with the Conflict Minerals requirements of Section 1502 of the Dodd-Frank Act.
- Johnson Controls has developed an understanding of how it uses tin, tantalum, tungsten, and gold ("3TG") in its products.
- Johnson Controls is working with its suppliers to identify whether 3TG is supplied, and if so, whether those 3TG are evaluated as Conflict Free.
- This is a Johnson Controls-wide effort, and your help raising awareness of the program will help ensure Johnson Controls' compliance.
- To learn more about conflict minerals, reporting requirements, and Johnson Controls' efforts to achieve compliance, please see the resources provided in the Appendix.
- Questions related to Johnson Controls' conflict minerals program can be directed to the contacts provided in the Appendix.



Appendix



Conflict Minerals Resources

- Conflict Minerals in the Supply Chain Summary Video http://www.youtube.com/watch?v=qs-Pm5iKg60
- Conflict Minerals Tools & Resources http://www.conflictfreesourcing.org/
- Johnson Controls Conflict Minerals dedicated page https://www.johnsoncontrols.com/suppliers/sustainability/conflict-minerals
- Contact person
 Corporate:
 Juraj Gregus, Substances Compliance Manager
 Juraj.Gregus@jci.com
- Reporting concerns: Via Integrity Helpline at https://valuesfirst.johnsoncontrols.com/resources

