

**Advanced Technology Recycling  
DOWNSTREAM VENDOR QUESTIONNAIRE**

<b>VENDOR COMPANY INFORMATION</b>	
Company Name:	
Facility Address – include Street, City, State & Zip:	
Mailing Address (if different from above):	
Contact Name:	
Phone:	Fax:
E-Mail:	Company Website:

<b>COMPANY HISTORY</b>	
Years in Operation under current owner:	Current Owner(s)/Principal(s):
If subsidiary, list parent company:	
Previous Owners and dates of operation:	
Current number of employees:	Size of facility (in sq. ft.):
Number of Shifts:	Hours of operation:

<p><b>MATERIALS PROCESSED for ATR:</b> Check all that are applicable;</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> PCBs</li> <li><input type="checkbox"/> Mercury</li> <li><input type="checkbox"/> Mercury containing devices (fluorescent tubes, laptops, LCD displays, LCD televisions)</li> <li><input type="checkbox"/> CRT or CRT Glass (monitors, televisions, misc. equipment)</li> <li><input type="checkbox"/> Batteries</li> <li><input type="checkbox"/> Circuit Boards</li> <li><input type="checkbox"/> Material containing Circuit boards (computer towers, printers, keyboards, mice, fax machines, copiers, etc.)</li> <li><input type="checkbox"/> Other: _____</li> <li><input type="checkbox"/> Other: _____</li> </ul>	<p><b>Monthly Capacity: (In Pounds):</b></p>
--	--

**1) PROCESS INFORMATION – REQUIRED:** Please describe the processes used to handle ATR’s materials. If you are buying As-Is or Untested equipment or components for resale, specify where all non-working or unusable materials are sent, and include a Manifest or BOL plus a settlement report documenting the material’s final disposition. As an R2 Certified company, ATR is required to track all equipment/components containing Focus Material [FM] all the way downstream to its final, environmentally safe disposition.

**2) REQUIRED FOR BUYERS OF AS-IS OR UNTESTED EQUIPMENT & COMPONENTS FOR REUSE OR RESALE ONLY:**

- a) Does your company send non-working or unusable [scrap] materials to an R2 Certified company?  Yes  No
- b) If your company is NOT sending scrap materials to an R2 Certified company, do you agree to return any non-working or unusable equipment/components to ATR, an R2 Certified company?  Yes  No

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**3) PROCESS INFORMATION - REQUIRED:** Please indicate all materials generated by the processing of ATR’s material and the sub-vendors used to process the material further.

Material Generated	How are the materials processed or disposed? (Include Processing technology, if applicable.)	Material Final Destination (Include company name and address)

**PERMITS, LICENSES AND INSURANCE**

<b>Business Licenses Permits:</b>	<input type="checkbox"/> Copies attached <input type="checkbox"/> N/A <b>Regulatory Agency:</b> <b>Regulatory Agency Phone Number:</b>
<b>Environmental Permits:</b>	<input type="checkbox"/> Copies attached <input type="checkbox"/> N/A <b>Regulatory Agency:</b> <b>Regulatory Agency Phone Number:</b>
<b>Waste Permits:</b>	<input type="checkbox"/> Copies attached <input type="checkbox"/> N/A <b>Regulatory Agency:</b> <b>Regulatory Agency Phone Number:</b>
<b>Air Emission Permits:</b>	<input type="checkbox"/> Copies attached <input type="checkbox"/> N/A <b>Regulatory Agency:</b> <b>Regulatory Agency Phone Number:</b>
<b>Water Permits:</b>	<input type="checkbox"/> Copies attached <input type="checkbox"/> N/A <b>Regulatory Agency:</b> <b>Regulatory Agency Phone Number:</b>
<b>Insurance Coverage:</b>	<input type="checkbox"/> Copies attached
<b>Workers Compensation Coverage:</b>	<input type="checkbox"/> Copies attached

<b>ENVIRONMENTAL MANAGEMENT SYSTEM</b>		
Is the facility ISO 14001 certified?	<input type="checkbox"/> Yes, please attach cert	<input type="checkbox"/> No
Is the facility R2:2013 certified?	<input type="checkbox"/> Yes, please attach cert	<input type="checkbox"/> No
Is the facility e-Stewards certified?	<input type="checkbox"/> Yes, please attach cert	<input type="checkbox"/> No
Does the company have a documented Environmental Policy and Environmental Management System?	<input type="checkbox"/> Yes, please attach copy	<input type="checkbox"/> No
Does the company have a commitment to the prevention of pollution?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the company have a commitment to continual improvement?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have there been any regulatory violations, fines, citations, corrective actions or remediation against the company?	<input type="checkbox"/> Yes - please attach explanation	<input type="checkbox"/> No
Is the facility ITAR registered?	<input type="checkbox"/> Yes - please provide ITAR Registration number:	<input type="checkbox"/> No
Does the facility have an ITAR compliance program?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

<b>OCCUPATIONAL HEALTH &amp; SAFETY</b>		
Is the facility OHSAS 18001 certified?	<input type="checkbox"/> Yes, please attach cert	<input type="checkbox"/> No
Does the company have a documented Occupational Health & Safety Policy?	<input type="checkbox"/> Yes, please attach copy	<input type="checkbox"/> No
Does the company have documented procedures for identifying and complying with all applicable health and safety regulations (federal, state, county, city and industry)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Have there been any regulatory violations, fines, citations, corrective actions or remediation against the company?	<input type="checkbox"/> Yes - please attach explanation	<input type="checkbox"/> No
Does the company have annual health & safety training for employees?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

<b>HAZARDOUS and UNIVERSAL WASTE PROCESSING, HANDLING &amp; STORAGE</b>		
Check all on-site hazardous and universal waste storage types and regulatory capacities: <input type="checkbox"/> Tanks      Capacity: <input type="checkbox"/> Drums      Capacity: <input type="checkbox"/> Other (specify)_____ Capacity:		
Does the company have documented procedures for processing, handling and storage of hazardous and universal waste that complying with all applicable regulations (federal, state, county, city and industry)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Does the company have documented procedures for spills, including responding to and reporting to regulatory agencies, if required?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

<b>Form Completed By: (Name and Title)</b>	<b>Signature:</b>	<b>Date:</b>
--	-------------------	--------------

## R2 Addendum

Advanced Technology Recycling (ATR) is R2 Certified (Responsible Recycling Practices for Electronic Recyclers). The R2 standard identifies Focus Materials (PCBs, Mercury, CRTs and CRT glass, Batteries and Circuit Boards) as problematic and requiring additional controls.

Your company has been identified by ATR as handling/processing one or more of ATR's focus materials. ATR will be working with our downstream vendors to pursue the following downstream vendor requirements as stated in the R2 standard (see attached R2 standard):

### Selection and Ongoing Due Diligence of Downstream Vendors for FMs

*For shipments of removed FMs, and shipments of equipment and components containing FMs, ATR shall select downstream vendors that possess and conform to:*

- 1. ATR's FM Management Plan,*
- 2. a documented system to manage environmental, health, and safety risks and legal requirements,*
- 3. Compliance with all applicable environmental and health and safety legal requirements and maintain a list of its environmental permits and copies of each,*
- 4. Assurance that any additional downstream vendors in the Recycling Chain of FMs from ATR conforms to these subsections (1) – (7) and Section 5(f), or allow ATR to confirm this information with each of its relevant downstream vendors,*
- 5. Provision 6 (Reusable equipment, if the downstream vendor is sending any of ATR's focus material for Reuse (not recycling or recovery)*
- 6. Provision 7 (Tracking Throughput) for documenting the flow of all FMs down the Recycling Chain, and*
- 7. Conform to Provision 10 (Security), ensuring security of the equipment down the recycling chain*

*ATR shall confirm, at least annually and document through audits or other similarly effective means that each downstream vendor in the Recycling Chain continues to conform to these requirements for as long as it receives FMs directly or indirectly from ATR.*

In order to comply with R2 requirements, ATR is requesting all downstream vendors sign below stating that;

1. They agree to abide by the requirements listed above;
2. They have reviewed the attached ATR Focus Material Management Plan Summary;
3. They have reviewed the attached R2 standard, if required by number 5 and 6 above

\_\_\_\_\_  
Management Representative – Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Management Representative – Signature

\_\_\_\_\_  
Date