

LPPM SUPPLY CHAIN ASSESSMENT FORM: March 2021

Counterparty	
Counterparty's country of incorporation	
Relationship Manager	

1. Summary of origin of precious metals and supply chain description.
Describe the full Supply chain as much as possible, declare any gaps.

2. High risk criteria

- The mined or recycled material originates from, has transited or has been transported via a conflict-affected or human rights abuse high risk area, e.g., CAHRAS.
- The mined material is claimed to be originated from a country that has limited known reserves, likely resources or expected production levels of Platinum/Palladium.
- The recycled material comes from a country where conflict affected and human rights abuse high risk areas are known, or reasonably suspected, to transit.
- Platinum/Palladium supplying counterparty or other known upstream companies are located in a country representing high risk for money laundering, crime or corruption.
- Platinum/Palladium supplying counterparty or other known upstream companies, or their beneficial owners are politically exposed persons.
- Platinum/Palladium supplying counterparty or other known upstream companies are active in a higher-risk business activity such as arms, gaming and casino industry, antiques and art, sects and their leaders etc.

3. Risk level of the business relationship

- High Non high

Rationale:

4. Approval

Date and Name

Relationship Manager	<input type="checkbox"/>	_____
Compliance	<input type="checkbox"/>	_____
Senior Management for high risk	<input type="checkbox"/>	_____

5. Review process

Next review date:

Review comments:

Risk level:

High Non high

Compliance	<input type="checkbox"/>	_____
Senior Management for high risk	<input type="checkbox"/>	_____

Please note that this form is a minimum requirement to be completed in addition to your existing internal policies.