SAM PRECIOUS METALS SUPPLY CHAIN QUESTIONNAIRE

1. COMPANY DETAILS	
a. Name	
b. Registered Address	
c. Business Address	
d. Telephone Number	
e. Date of Incorporation	
f. Country of Incorporation	
g. Business Registration Number	
h. Tax Identification/Registration	
Number	
i. Website	
j. External Financial Auditors Since Date	
k Hourseons divest 0 indivest	
k. How many direct & indirect	
subsidiaries does the company have?	
(please provide a Group chart)	

2. BUSINESS ACTIVITY		
a. Type of Business	Precious Metals Trader/Dealer	
	Jeweller	Wholesaler
	Srap Dealer	
	Coins Dealer	
	Other Financial Intermediary	Others, please specify
b. Description of Core Business Activity		
c. Does the company hold a license to conduct its business (es)?		
d. Main Market		
e. Main Products		

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3. MANAGEMENT STRUCTURE				
	Names	Title	Nationality	Date of Birth
a. Board of Directors				
b. Top Management				

4. FINANCIAL INFORMATION			
4.1 Financial Statements D	etails		
	Currency	Last Reporting Period	Previous Year
a. Share Capital			
b. Total Shareholder's Equity			
c. Total Balance Sheet			
d. Sales			
e. Net Income			
Please provide copy of latest Ar	-		
4.2 OTHER FINANCIAL INFO	ORMATION		
f. Source of operation fu		Own Equity Government entit Bank Loan, name(Other third party	
g. What usual payment me Company use to pay it		Payment Type Bank Transfers Cheques Cash	Percentage (%)

5. REGULATORY ENVIRONMENT	YES	NO	N/A
a. Does your Company need to comply with detailed health and safety regulations in the country/province of operations?			
b. Does your Company need to comply with detailed environmental regulations in the country/province of operations?			
c. Is child labour regulated in mining activity in the country/province of operations?			
d. Are public security forces used on or around the mine site?			



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6. HUMAN RESOURCES	
a. Number of employees within the Company	
b. Number of employees within the group	

7. ORIGIN OF PHYSICAL PRECIOUS METALS	
a. Profile of your precious metals suppliers (Individual/ Company)	
b. Country(ies) of origin of precious metals delivered to us?	
c. County(ies) of destination of precious metals delivered once refined?	
d. Is the Company legally required to have a license to import precious metals?	Yes- please provide a copy No N/A
e. Is the Company legally required to have a license to export precious metals?	Yes- please provide a copy No N/A

8. FACILITIES			YES	NO	N/A
a. Does the Company have any sm	elting or refining facilities?				
b. Does the Company have any ma	nufacturing facilities?				
c. Does the company produce its	own jewellery?				
d. What are the types, forms and p	percentage of precious metals	s sourced by the Con	npany?		
Recycled precious metals (%)				
LBMA GD Bullion	Non LBMA Good Deli	ivery Bullion (Au= >99	95 / Ag=	>9999)	
Rudimentary Bars	Jewellery	Broken Jev	vellery		
Coins	Collected waste	Others, ple	ease spe	cify:	
Primary material- mined precious metals (%)					
Dore bars					



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e. What type of precious metals is the Company planning to send for refining?		
Gold	Others, p	please specify:
Silver		
f. What is the form of precious r	metals planned to be sent for	refining?
Unprocessed recycled precious	metals	
LBMA GD Bullion	Non LBMA Good Del	ivery Bullion (Au= >995 / Ag= >9999)
Coins	Jewellery	Broken Jewellery
Dore	Collected waste	Others, please specify:
Melted recycled precious meta Rudimentary bars (undefined d		

9. RESPONSIBLE PRECIOUS METALS SUPPLY CHAIN POLICY	
a. Did your institution establish a responsible supply chain of gold from conflict-affected and high risk areas policy which is consistent with the standards set forth in the model supply	Yes- Please provide a copy
chain policy in Annex II of OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas?_ <u>http://www.oecd.org/daf/inv/mne/GuidanceEdition2.pdf</u>	No No
b. Does your institution comply or plan to comply with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas?	 Yes- Please provide a copy Plans to comply No

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c. Is the Company complying with any of the following industry initiatives:	
LBMA Responsible Gold Guidance LBMA Responsible Silver Guidance RJC Chain of Custody Standard WGC Conflict Free Gold Standard Conflict Free Smelter (CFS) Program Others, please specify:	
d. What are the procedures in place to ensure that the precious metals purchased have not financed conflict?	

10. ANTI-MONEY LAUNDERING (AML)-COMBATING FINANCIAL TERRORISM (CFT)		
a. Is your institution subject to Anti-Money Laundering /Combating Financial Terrorism Law/Regulation?	Yes No	
b. Has your institution established a conformity program that contains AML/CFT policies and procedures, according to internal & international laws, rules and standards?	Yes- Please provide a copy	
11. BRIBERY POLICY		
a. Does your Company have any bribery policy in place?	Yes- Please provide a copy	
b. Has the Company or the Senior Management ever been charged anywhere in the world for violation of applicable anti-bribery laws or regulations?	Yes- Please provide details	

12. DATA PRIVACY PROTECTION	
a. Does your Company have Data Protection Policy?	Yes No
b. Does your Company have Data Protection Commissioner?	Yes No
c. Does your Company have a certified data storage system or an information system?	Yes No



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a. Does the Company have a person responsible (Compliance Officer) for all AML- CFT matters (Due Diligence, AML Policies, internal Training)? If Yes, please provide us with his/her name, phone number and email address. b. Is the Company subject to an AML-CFT audit by an independent party or a governmental party? Date of your last AML-CFT compliance audit: c. How long does the Company keep its Due Diligence files (records)? d. What is the typical profile of your precious metals suppliers? Corporate (%) Individual persons (%) e. What type of information does the Company request from its precious metals suppliers? companies YES NO company Name Company Name No Company Name Company Name Company Name Modress Date of Incorporation Date of Incorporation Date of Incorporation Country of Incorporation Country of Incorporation Description of main activity and financial information Description of main acti	13. PRECIOUS METALS SUPPLIERS DUE DILIGENCE QUESTIONNAIRE	YES	NO	N/A	
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suspicious a	mpany have a monitoring prog activity that covers funds transf neques) or third party payment	ers and monetary instrum	-	
k. Does the Com	pany have to register all purch	ases and sales?		
I. What usual	payment methods does the Co	mpany use to pay its preci	ious metals suppli	ers?
	Payment Type	Percentage (%)		
	Bank Transfers			
	Cheques			
	Cash			
	mpany have a procedure in place ransactions from its suppliers t	-	report	
n. Does the Con	npany have a maximum amoun	t as per internal policy or i	regulatory	
framework:	?			
Amount allo	wed for cash payment?			
If yes, how r	nuch?			
Amount of c	leal per supplier in USD?			
 Amount of t 				

Comments/ Additional information (please indicate which question the information is referring to)?

SIGNATURE

I hereby declare that the information given above is true and accurate as of the date of writing.

I undertake to automatically inform **SAM PRECIOUS METALS FZ LLC** of any material changes.

	Authorized Signatory	Authorized Signatory
Signature:		
Print Name:		
Title:		
Company Name:		
Date and Location:		



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