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#### **BEIJING EASPRING MATERIAL TECHNOLOGY**

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## **CHAMBISHI METALS PLC**

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: ZAMBIA SOR URL Membership: LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| <ol><li>Control system strengthened DD?</li></ol>            | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### CHENGDU HUAZE COBALT&NICKEL MATERIAL CO., LTD

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?o  | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### CHINA MOLYBDENUM CO. LTD FORMER OWNER: (FREEPORTMCMORAN)

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### **CTT - COMPAGNIE DE TIFNOUT TIRANIMINE**

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: MOROCCO SOR URL Membership: LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{0}$                    | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## EURASIAN NATURAL RESOURCES GROUP

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: DRC SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?o                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## FREEPORT COBALT OY (KOKKOLA)

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: FINLAND SOR URL Membership: LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments? <sub>0</sub>      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### GANZHOU YI HAO UMICORE INDUSTRY CO.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: LME, CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### **GLENCORE XSTRATA**

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: SWITZERLAND SOR URL Membership: CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol> <li>Record keeping system described?</li> </ol>         | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments? $_{0}$            | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## **GLOBAL TUNGSTEN & POWDERS CORP.**

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: US SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## **GROUPE FORREST INTERNATIONAL S.A. (ENTREPRISE GNRALE MALTA FORREST)**

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: DRC SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## HANRUI COBALT

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### HUNAN YACHENG NEW MATERIALS DEVELOPMENT CO., LTD.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## JIANGSU COBALT NICKEL METAL (KLK)

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: LME, CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{0}$                    | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### JIANGSU XIONGFENG TECHNOLOGY CO., LTD.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## JIANGXI JIANGWU COBALT CO., LTD.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol> <li>Record keeping system described?</li> </ol>         | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?0                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## JINCHUAN GROUP CO LTD

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: LME, CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol> <li>Record keeping system described?</li> </ol>         | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## JINCHUAN NONFERROUS METALS CORP.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: LME, CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?o                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## **KASESE COBALT COMPANY LIMITED**

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: UGANDA SOR URL Membership: LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### LANZHOU JINCHUAN ADVANCED MATERIALS TECHNOLOGY CO., LTD.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### **MOPANI COPPER MINES**

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: ZAMBIA SOR URL Membership: LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol><li>Record keeping system described?</li></ol>           | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## NANTONG XINWEI NICKEL & COBALT HIGHTECH DEVELOPMENT CO., LTD.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### NICOMET INDUSTRIES LTD.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: INDIA SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

#### PJSC MMC NORILSK NICKEL

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: RUSSIA SOR URL Membership: LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments? <sub>0</sub>      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### QUEENSLAND NICKEL PL

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: AUSTRALIA SOR URL Membership:

| 1. Due diligence (DD) policy?oc ••• 27. Described steps taken to mana                          | age risks?oc                                 |
|--|--|
|  |  |
| 2. Management structure described? ••• 28. Included summary of risk mitig                      | gation?oc •••                                |
| 3. Designated responsible manager? • • • 29. Described training?•c                             | • • •  |
| 4. Described transparency and info collection? • • • 30. Involved affected stakeholders?       | oc • • •                                     |
| 5. Control systems over mineral supply chain? • • • 31. Efforts to monitor risk mitigat        | ion performance?oc • • •                     |
| 6. Control system strengthened DD? • • • 32. Number of supplier disengager                     | nent instances? •••                          |
| 7. Record keeping system described? • • • 33. Operational grievance mechan                     | ism? •••                                     |
| 8. Explained methods for identifying all suppliers? • • • 34. Grievance mechanism procedu      | re? •••                                      |
| 9. Explained methods for sharing information?  |  |
| 10. Disclosure on payments to governments? • • • • Step 4: Audits                              |  |
| 11. Conflict-free sourcing policy? ••• 35. Published audit reports?                            | • • •  |
| 12. Covered tin/tantalum materials? ••• 36. Refiner details and audit date?                    |  |
| 13. Covered the DRC and adjoining countries? ••• 37. Audit activities and methodolo            | ogy described?                               |
| 14. Part of standard operating procedures and training? ••• 38. Audit conclusions in line with | 5 DD steps?                                  |
| 15. Effective date? ••• 39. Published LBMA Summary Re  | port annually? •••                           |
| 16. Shared with suppliers? ••• 40. Published auditor Assurance R                               | eport? •••                                   |
| 17. Policy in English?• • •41. Published Refiner compliance                                    | •  |
| 42. Name of refinery in compliance   | e report? •••                                |
| Step 2: Risk assessment 43. Compliance time period in con                                      | npliance report? •••                         |
| 18. Published risk report?oc • • • 44. Summary of compliance activity                          | ties in compliance report? • • •             |
|  | step of LBMA RGG in compliance report? •••   |
| 20. Explained methodology of risk assessment?oc • • • 46. Management conclusion on LE          | BMA RGG compliance in compliance report? ••• |
| 21. Collaboration with upstream companies?   |  |
| 22. Company-specific circumstances considered in joint work? • • •                             |  |
| 23. Disclosed the actual or potential risks identified?  |  |
| 24. Explained how red flags were identified?   |  |
| 25. Described the identified red flag suppliers? ••• NO  |  |
| 26. Steps to map red flag supplier operations?   |  |

#### RAMU NICO MANAGEMENT (MCC) LIMITED

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## SHAANXI HUAZE NICKEL & COBALT METAL

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### SHALINA RESOURCES LTD

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: DRC SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      |       | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  |       | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   |       | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### SHANDONG JINLING MINING

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### SHENZHEN GREEN ECO-MANUFACTURE HI-TECH CO., LTD.,

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### SHERRITT INTERNATIONAL

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CANADA SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### SICHUAN NI AND CO GUORUN NEW MATERIALS

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: LME, CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | ● ● ● ungraded   |       |

### SUMITOMO METAL MINING CO., LTD.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: JAPAN SOR URL Membership: LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# **UMICORE (OLEN REFINERY)**

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: BELGIUM SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# VALE CANADA LTD. / VALE INCO LTD.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CANADA SOR URL Membership: LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### VOTORANTIM METAIS SA

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: BRAZIL SOR URL Membership: LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## YANTAI CASH INDUSTRIAL CO LTD

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: LME, CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# ZHEJIANG HUAYOU COBALT COMPANY CO., LTD.

Metal: Cobalt RMI SOR ID: none SOR Headquarter Country: CHINA SOR URL Membership: CCCMC, RCI

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# ABC REFINERY (AUSTRALIA) PTY LTD

Scores

Metal: Gold RMI SOR ID: none SOR Headquarter Country: AUSTRALIA SOR URL Membership: LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| .0. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 1. Conflict-free sourcing policy?                               |       | 35. Published audit reports? OMLD  | • • • |
| .2. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 4. Part of standard operating procedures and training?          |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 5. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| L6. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| I7. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| .8. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

### ABINGTON RELDAN METALS, LLC

Scores

Metal: Gold RMI SOR ID: CID002708 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?obc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

O — OECD: 2/27 (7%) M — RMAP: 1/16 (6%) L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 2/35 (6%) C — CCCMC: 2/15 (13%)

### ADVANCED CHEMICAL COMPANY

Scores

Metal: Gold RMI SOR ID: CID000015 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%) L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

# AIDA CHEMICAL INDUSTRIES CO., LTD.

Metal: Gold RMI SOR ID: CID000019 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

O — OECD: 2/27 (7%) M — RMAP: 2/16 (12%) L — LBMA: 1/14 (7%) J — RJC CoC: 2/9 (22%) D — DMCC: 2/35 (6%) C — CCCMC: 2/15 (13%)

# AL ETIHAD GOLD LLC

O — OECD: 15/27 (56%)

Scores

Metal: Gold RMI SOR ID: CID002560 SOR Headquarter Country: UNITED ARAB EMIRATES SOR URL Membership: RMAP Conformant, DMCC

M — RMAP: 8/16 (50%) L — LBMA: 13/14 (93%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omb  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?oDC | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

J — RJC CoC: 4/9 (44%)

D — DMCC: 22/35 (63%)

C — CCCMC: 7/15 (47%)

#### ALLGEMEINE GOLD-UND SILBERSCHEIDEANSTALT A.G.

Scores

Metal: Gold RMI SOR ID: CID000035 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant, LBMA, RJC CoC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omed   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 4. Part of standard operating procedures and training?          | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| L5. Effective date?   | • • • | 39. Published LBMA Summary Report annually?⊾                             | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

### ALMALYK MINING AND METALLURGICAL COMPLEX (AMMC)

Metal: Gold RMI SOR ID: CID000041 SOR Headquarter Country: UZBEKISTAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

L — LBMA: 2/14 (14%) J — RJC CoC: 2/9 (22%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

### ANGLOGOLD ASHANTI CORREGO DO SITIO MINERACAO

Metal: Gold RMI SOR ID: CID000058 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omd                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?od                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

(73%)

Scores

## **ARGOR-HERAEUS S.A.**

O — OECD: 8/27 (30%)

Scores

Metal: Gold RMI SOR ID: CID000077 SOR Headquarter Country: SWITZERLAND SOR URL Membership: RMAP Conformant, LBMA, RJC CoC, DMCC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? MUDC                            |       |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omc                                   | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omec                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?         | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                    | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 4/9 (44%)

D — DMCC: 15/35 (43%)

M — RMAP: 5/16 (31%) L — LBMA: 13/14 (93%)

C — CCCMC: 4/15 (27%)

### ASAHI PRETEC CORP.

Scores

Metal: Gold RMI SOR ID: CID000082 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? <sub>OMLJDC</sub>                 | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?омр                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?ond                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?                                      | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

#### ASAHI REFINING CANADA LTD.

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

Scores

Metal: Gold RMI SOR ID: CID000924 SOR Headquarter Country: CANADA SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibe                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?ond                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?⊾                             | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

### ASAHI REFINING USA INC.

Metal: Gold RMI SOR ID: CID000920 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

Scores

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

### ASAKA RIKEN CO., LTD.

Metal: Gold RMI SOR ID: CID000090 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OML/DC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?OMJDC                                 | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

D — DMCC: 3/35 (9%) C — CCCMC: 1/15 (7%)

#### ATASAY KUYUMCULUK SANAYI VE TICARET A.S.

Scores

Metal: Gold RMI SOR ID: CID000103 SOR Headquarter Country: TURKEY SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlJDC                             | • • • | 27. Described steps taken to manage risks? OMJDC                           | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                             | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training? <sub>OMJDC</sub>                                   | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                  | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                  | • • • |
| 6. Control system strengthened DD?ond                           | • • • | 32. Number of supplier disengagement instances? OMJDC                      | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                       | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?   | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OND                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports?omed   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                     | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                         | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                          | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                                 | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                   | • • • |
|   |       | 42. Name of refinery in compliance report?                                 | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                           | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD              | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?LD | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

### AU TRADERS AND REFINERS

Scores

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

Metal: Gold RMI SOR ID: CID002850 SOR Headquarter Country: SOUTH AFRICA SOR URL Membership: RMAP Conformant, RJC CoC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

# **AURUBIS AG**

Metal: Gold RMI SOR ID: CID000113 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant, LBMA, LME

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                    | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

#### **BANGALORE REFINERY**

Metal: Gold RMI SOR ID: CID002863 SOR Headquarter Country: INDIA SOR URL Membership: RMAP Active

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlidc                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| <ol><li>Record keeping system described?omd</li></ol>           | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? ID            | • • • |
| 19. Outlined methodology of risk assessment? OMDC               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |
|   |       |  |       |

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

### BANGKO SENTRAL NG PILIPINAS (CENTRAL BANK OF THE PHILIPPINES)

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Scores

Metal: Gold RMI SOR ID: CID000128 SOR Headquarter Country: PHILIPPINES SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

L — LBMA: 0/14 (0%)

C — CCCMC: 0/15 (0%)

### **BOLIDEN COMMERCIAL AB**

O — OECD: 18/27 (67%)

Scores

Metal: Gold RMI SOR ID: CID000157 SOR Headquarter Country: SWEDEN SOR URL Membership: RMAP Conformant, LBMA, LME

M — RMAP: 12/16 (75%) L — LBMA: 7/14 (50%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OML/DC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?ond          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

J — RJC CoC: 6/9 (67%)

D — DMCC: 19/35 (54%)

C — CCCMC: 8/15 (53%)

# C. HAFNER GMBH + CO. KG

Scores

O — OECD: 2/27 (7%) M — RMAP: 1/16 (6%)

Metal: Gold RMI SOR ID: CID000176 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant, LBMA, RJC CoC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omb  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 2/35 (6%) C — CCCMC: 1/15 (7%)

# CARIDAD

Metal: Gold RMI SOR ID: CID000180 SOR Headquarter Country: MEXICO SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? MUDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omp                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?omd                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%) C — CCCMC: 0/15 (0%)

#### **CCR REFINERY - GLENCORE CANADA CORPORATION**

Scores

Metal: Gold RMI SOR ID: CID000185 SOR Headquarter Country: CANADA SOR URL Membership: RMAP Conformant, LBMA, LME

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

### CENDRES + METAUX S.A.

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Metal: Gold RMI SOR ID: CID000189 SOR Headquarter Country: SWITZERLAND SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?⊾                             | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

# CHIMET S.P.A.

Metal: Gold RMI SOR ID: CID000233 SOR Headquarter Country: ITALY SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?ond                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

Scores

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

L — LBMA: 1/14 (7%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

### **CHUGAI MINING**

Scores

Metal: Gold RMI SOR ID: CID000264 SOR Headquarter Country: JAPAN SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMUDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

# DAEJIN INDUS CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID000328 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 4. Part of standard operating procedures and training?          | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| L6. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| l8. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

#### DAYE NON-FERROUS METALS MINING LTD.

Scores

Metal: Gold RMI SOR ID: CID000343 SOR Headquarter Country: CHINA SOR URL Membership: LBMA, LME, SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| . Described transparency and info collection?                   | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| . Control systems over mineral supply chain?                    | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 5. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

#### DEGUSSA SONNE / MOND GOLDHANDEL GMBH

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Scores

Metal: Gold RMI SOR ID: CID002867 SOR Headquarter Country: GERMANY SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omd                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

## DODUCO GMBH

Scores

Metal: Gold RMI SOR ID: CID000362 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

### DOWA

Metal: Gold RMI SOR ID: CID000401 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

D — DMCC: 4/35 (11%) C — CCCMC: 2/15 (13%)

# DS PRETECH CO., LTD.

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Metal: Gold RMI SOR ID: CID003195 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Active

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

# **DSC (DO SUNG CORPORATION)**

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

Scores

Metal: Gold RMI SOR ID: CID000359 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

# ECO-SYSTEM RECYCLING CO., LTD.

Metal: Gold RMI SOR ID: CID000425 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OML/DC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? MUDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

D — DMCC: 4/35 (11%) C — CCCMC: 2/15 (13%)

## **ELEMETAL REFINING, LLC**

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Metal: Gold RMI SOR ID: CID001322 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omld   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

## **EMIRATES GOLD DMCC**

Scores

Metal: Gold RMI SOR ID: CID002561 SOR Headquarter Country: UNITED ARAB EMIRATES SOR URL Membership: RMAP Conformant, DMCC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

## FIDELITY PRINTERS AND REFINERS LTD.

Scores

Metal: Gold RMI SOR ID: CID002515 SOR Headquarter Country: ZIMBABWE SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                                 | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                             | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                  | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                  | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                      | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                       | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?   | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? ONLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date? OLD                                    | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                         | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                          | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                                 | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                   | • • • |
|   |       | 42. Name of refinery in compliance report?                                 | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                           | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD              | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?LD | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?oDC | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

### GANSU SEEMINE MATERIAL HI-TECH CO., LTD.

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Scores

Metal: Gold RMI SOR ID: CID000522 SOR Headquarter Country: CHINA SOR URL Membership: SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

## GCC GUJRAT GOLD CENTRE PVT. LTD.

Scores

Metal: Gold RMI SOR ID: CID002852 SOR Headquarter Country: INDIA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omed   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 4. Part of standard operating procedures and training?          | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| .8. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

### **GEIB REFINING CORPORATION**

Scores

Metal: Gold RMI SOR ID: CID002459 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%) L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

### GREAT WALL PRECIOUS METALS CO., LTD. OF CBPM

Scores

Metal: Gold RMI SOR ID: CID001909 SOR Headquarter Country: CHINA SOR URL Membership: LBMA, CCCMC

| Step 1: Company management systems                              | Step 3: Risk management  |       |
|---|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   | ••• 31. Efforts to monitor risk mitigation performance?                        | • • • |
| 6. Control system strengthened DD?omp                           | • • • 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • •  |       |
| 10. Disclosure on payments to governments?                      | ••• Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | ••• 35. Published audit reports? ONLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | ••• 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      | • • • 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • 41. Published Refiner compliance report?                                 | • • • |
|   | 42. Name of refinery in compliance report?                                     | • • • |
| Step 2: Risk assessment   | 43. Compliance time period in compliance report?                               | • • • |
| 18. Published risk report?omc                                   | • • • 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | ••• 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?                      | • • •  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • •  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | $\bullet \bullet \bullet$ ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

### **GUANGDONG JINDING GOLD LIMITED**

Metal: Gold RMI SOR ID: CID002312 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?ond                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports?ome  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%) C — CCCMC: 0/15 (0%)

#### GUODA SAFINA HIGH-TECH ENVIRONMENTAL REFINERY CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID000651 SOR Headquarter Country: CHINA SOR URL Membership: SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMUDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

### HANGZHOU FUCHUNJIANG SMELTING CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID000671 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omuse                              | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date? OLD                                  | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

#### HEESUNG METAL LTD.

Scores

Metal: Gold RMI SOR ID: CID000689 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks? MJDC                            | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation? OMJDC                             | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                  | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                  | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                      | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                       | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?   | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                     | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                         | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                          | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                                 | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                   | • • • |
|   |       | 42. Name of refinery in compliance report? LD                              | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                           | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD              | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?LD | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

### **HEIMERLE + MEULE GMBH**

O — OECD: 16/27 (59%)

Scores

Metal: Gold RMI SOR ID: CID000694 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant, LBMA

M — RMAP: 11/16 (69%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omldc                              | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders?омлос                                 | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?ond                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?obc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

J — RJC CoC: 4/9 (44%)

D — DMCC: 17/35 (49%)

L — LBMA: 7/14 (50%)

C — CCCMC: 6/15 (40%)

## HERAEUS METALS HONG KONG LTD.

Scores

Metal: Gold RMI SOR ID: CID000707 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LBMA, RJC CoC, DMCC, SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 1. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orD                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

D — DMCC: 25/35 (71%) C — CCCMC: 12/15 (80%)

## HERAEUS PRECIOUS METALS GMBH & CO. KG

O — OECD: 18/27 (67%)

Scores

Metal: Gold RMI SOR ID: CID000711 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant, LBMA, DMCC, SGE

M — RMAP: 13/16 (81%) L — LBMA: 9/14 (64%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

J — RJC CoC: 7/9 (78%)

### HUNAN CHENZHOU MINING CO., LTD.

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Scores

Metal: Gold RMI SOR ID: CID000767 SOR Headquarter Country: CHINA SOR URL Membership: SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports?omed   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

## HWASEONG CJ CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID000778 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership:

| Step 1: Company management systems                              |         | Step 3: Risk management  |              |
|---|---------|--|--------------|
| 1. Due diligence (DD) policy?omLidc                             | • • •   | 27. Described steps taken to manage risks? OMJDC                         | • • •        |
| 2. Management structure described?omd                           | • • •   | 28. Included summary of risk mitigation? OMJDC                           | • • •        |
| 3. Designated responsible manager? OMD                          | • • •   | 29. Described training?  | • • •        |
| 4. Described transparency and info collection?                  | • • •   | 30. Involved affected stakeholders? OMJDC                                | • • •        |
| 5. Control systems over mineral supply chain?                   | • • •   | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • •        |
| 6. Control system strengthened DD?omd                           | • • •   | 32. Number of supplier disengagement instances? OMJDC                    | • • •        |
| 7. Record keeping system described?omd                          | • • •   | 33. Operational grievance mechanism?                                     | • • •        |
| 8. Explained methods for identifying all suppliers? OND         | • • •   | 34. Grievance mechanism procedure?                                       | • • •        |
| 9. Explained methods for sharing information?                   | • • •   |  |              |
| 10. Disclosure on payments to governments? OMD                  | • • •   | Step 4: Audits   |              |
| 11. Conflict-free sourcing policy?                              | • • •   | 35. Published audit reports? MLD   | • • •        |
| 12. Covered tin/tantalum materials?                             | • • •   | 36. Refiner details and audit date?old                                   | • • •        |
| 13. Covered the DRC and adjoining countries?                    | • • •   | 37. Audit activities and methodology described?old                       | • • •        |
| 14. Part of standard operating procedures and training?         | • • •   | 38. Audit conclusions in line with 5 DD steps?old                        | • • •        |
| 15. Effective date?   | • • •   | 39. Published LBMA Summary Report annually?                              | • • •        |
| 16. Shared with suppliers?                                      | • • •   | 40. Published auditor Assurance Report? LD                               | • • •        |
| 17. Policy in English?  | • • •   | 41. Published Refiner compliance report?                                 | • • •        |
|   |         | 42. Name of refinery in compliance report? LD                            | • • •        |
| Step 2: Risk assessment   |         | 43. Compliance time period in compliance report?                         | • • •        |
| 18. Published risk report?ombc                                  | • • •   | 44. Summary of compliance activities in compliance report? LD            | • • •        |
| 19. Outlined methodology of risk assessment? OMDC               | • • •   | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • •        |
| 20. Explained methodology of risk assessment?                   | • • •   | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • •        |
| 21. Collaboration with upstream companies?opc                   | • • •   |  |              |
| 22. Company-specific circumstances considered in joint work?opc | • • •   |  |              |
| 23. Disclosed the actual or potential risks identified?opc      | • • •   | • • • YES  |              |
| 24. Explained how red flags were identified?opc                 | • • •   | • • • NA   |              |
| 25. Described the identified red flag suppliers? ODC            | • • •   | • • • NO   |              |
| 26. Steps to map red flag supplier operations? ODC              | • • •   | • • • ungraded   |              |
| O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%) L — LB                  | MA: 0/1 | .4 (0%) J — RJC CoC: 0/9 (0%) D — DMCC: 0/35 (0%) C — CCCM               | C: 0/15 (0%) |

### INNER MONGOLIA QIANKUN GOLD AND SILVER REFINERY SHARE CO., LTD.

O — OECD: 10/27 (37%)

Scores

Metal: Gold RMI SOR ID: CID000801 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LBMA, SGE, CCCMC

M — RMAP: 6/16 (38%) L — LBMA: 5/14 (36%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 1/9 (11%) D — DMCC: 11/35 (31%)

C — CCCMC: 1/15 (7%)

### ISHIFUKU METAL INDUSTRY CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID000807 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

## **ISTANBUL GOLD REFINERY**

Scores

Metal: Gold RMI SOR ID: CID000814 SOR Headquarter Country: TURKEY SOR URL Membership: RMAP Conformant, LBMA, DMCC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

### ITALPREZIOSI S.P.A.

Scores

Metal: Gold RMI SOR ID: CID002765 SOR Headquarter Country: ITALY SOR URL Membership: RMAP Conformant, RJC CoC

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? ID            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

### JAPAN MINT

Scores

Metal: Gold RMI SOR ID: CID000823 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks? MJDC                          | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training? OMJDC  | • • • |
| I. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 5. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| <ol><li>Explained methods for sharing information?</li></ol>    | • • • |  |       |
| .0. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 1. Conflict-free sourcing policy?                               | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 4. Part of standard operating procedures and training?          | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| l6. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| .8. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| .9. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

## JIANGXI COPPER CO., LTD.

Metal: Gold RMI SOR ID: CID000855 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LBMA, LME, SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

(93%)

Scores

### JSC EKATERINBURG NON-FERROUS METAL PROCESSING PLANT

Scores

Metal: Gold RMI SOR ID: CID000927 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| .0. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 1. Conflict-free sourcing policy?                               |       | 35. Published audit reports? OMLD  | • • • |
| 2. Covered tin/tantalum materials?                              |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? D                             | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                    | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

### JSC NOVOSIBIRSK REFINERY

O — OECD: 14/27 (52%)

Scores

M — RMAP: 11/16 (69%)

Metal: Gold RMI SOR ID: CID000493 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? ID            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 6/9 (67%)

D — DMCC: 21/35 (60%)

L — LBMA: 9/14 (64%)

C — CCCMC: 8/15 (53%)

## JSC URALELECTROMED

Scores

Metal: Gold RMI SOR ID: CID000929 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant, LBMA, LME

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?⊾                             | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omc                 | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

## JX NIPPON MINING & METALS CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID000937 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omc                                   | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

## **KALOTI PRECIOUS METALS**

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Metal: Gold RMI SOR ID: CID002563 SOR Headquarter Country: UNITED ARAB EMIRATES SOR URL Membership: SGE

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omd                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

## **KAZAKHMYS SMELTING LLC**

Metal: Gold RMI SOR ID: CID000956 SOR Headquarter Country: KAZAKHSTAN SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibe                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?ond                           | • • • | 32. Number of supplier disengagement instances? <b>OMJDC</b>             | • • • |
| <ol><li>Record keeping system described?ond</li></ol>           | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment? OMDC               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |
|   |       |  |       |

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%) C — CCCMC: 0/15 (0%)

# KAZZINC

Scores

Metal: Gold RMI SOR ID: CID000957 SOR Headquarter Country: KAZAKHSTAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omld   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?out                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                   | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                    | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

# KENNECOTT UTAH COPPER LLC

Scores

Metal: Gold RMI SOR ID: CID000969 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant, LBMA, LME

| Step 1: Company management systems                             |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                          | • • • | 28. Included summary of risk mitigation?omute                            | • • • |
| 3. Designated responsible manager? OMD                         | • • • | 29. Described training? OMJDC  | • • • |
| . Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                  |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| . Control system strengthened DD?омр                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                            | • • • | 33. Operational grievance mechanism?                                     | • • • |
| . Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| . Explained methods for sharing information?                   | • • • |  |       |
| 0. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 1. Conflict-free sourcing policy?                              |       | 35. Published audit reports? MLD   | • • • |
| 2. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 3. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 4. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 5. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| .6. Shared with suppliers?                                     |       | 40. Published auditor Assurance Report?                                  | • • • |
| l7. Policy in English?⊾  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 8. Published risk report?                                      | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 9. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 0. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 1. Collaboration with upstream companies? ODC                  | • • • |  |       |
| 2. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 3. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 4. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 5. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc              | • • • | • • • ungraded   |       |

### KGHM POLSKA MIEDZ SPOLKA AKCYJNA

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Scores

Metal: Gold RMI SOR ID: CID002511 SOR Headquarter Country: POLAND SOR URL Membership: RMAP Active, LME

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? <sub>OMJDC</sub>     | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omld   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

## KOJIMA CHEMICALS CO., LTD.

Metal: Gold RMI SOR ID: CID000981 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlidc                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omb  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

Scores

L — LBMA: 1/14 (7%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

## KOREA ZINC CO., LTD.

Scores

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

Metal: Gold RMI SOR ID: CID002605 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

# KYRGYZALTYN JSC

Scores

Metal: Gold RMI SOR ID: CID001029 SOR Headquarter Country: KYRGYZSTAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation?omute                            | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

D — DMCC: 0/35 (0%) C — CCCMC: 0/15 (0%)

#### KYSHTYM COPPER-ELECTROLYTIC PLANT ZAO

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Scores

Metal: Gold RMI SOR ID: CID002865 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omlb   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?out                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

## L'AZURDE COMPANY FOR JEWELRY

Metal: Gold RMI SOR ID: CID001032 SOR Headquarter Country: SAUDI ARABIA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

# L'ORFEBRE S.A.

Metal: Gold RMI SOR ID: CID002762 SOR Headquarter Country: ANDORRA SOR URL Membership: RMAP Active

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD? OND                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?ond          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?омьр   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?or                                    | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omc                                   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%) C — CCCMC: 0/15 (0%)

## LINGBAO GOLD CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID001056 SOR Headquarter Country: CHINA SOR URL Membership: SGE, CCCMC

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omljdc                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?ond                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?                                      | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |
|   |       |  |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

### LINGBAO JINYUAN TONGHUI REFINERY CO., LTD.

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Scores

Metal: Gold RMI SOR ID: CID001058 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

## LS-NIKKO COPPER INC.

Scores

Metal: Gold RMI SOR ID: CID001078 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Conformant, LBMA, LME

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

## LUOYANG ZIJIN YINHUI GOLD REFINERY CO., LTD.

Metal: Gold RMI SOR ID: CID001093 SOR Headquarter Country: CHINA SOR URL Membership: SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%) C —

CC: 0/35 (0%) C — CCCMC: 0/15 (0%)

#### MARSAM METALS

Metal: Gold RMI SOR ID: CID002606 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports?omld   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

D — DMCC: 4/35 (11%) C — CCCMC: 4/15 (27%)

## MATERION

Scores

Metal: Gold RMI SOR ID: CID001113 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

O — OECD: 2/27 (7%) M — RMAP: 2/16 (12%) L — LBMA: 2/14 (14%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 1/9 (11%) D — DMCC: 2/35 (6%)

### MATSUDA SANGYO CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID001119 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?                                      | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

## METALOR TECHNOLOGIES (HONG KONG) LTD.

Scores

Metal: Gold RMI SOR ID: CID001149 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LBMA, RJC CoC, CCCMC

O — OECD: 2/27 (7%) M — RMAP: 2/16 (12%) L — LBMA: 2/14 (14%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 1/9 (11%) D — DMCC: 2/35 (6%)

#### METALOR TECHNOLOGIES (SINGAPORE) PTE., LTD.

Metal: Gold RMI SOR ID: CID001152 SOR Headquarter Country: SINGAPORE SOR URL Membership: RMAP Conformant, LBMA, RJC CoC

O — OECD: 2/27 (7%) M — RMAP: 2/16 (12%) L — LBMA: 2/14 (14%)

Scores

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 1/9 (11%) D — DMCC: 2/35 (6%)

## METALOR TECHNOLOGIES (SUZHOU) LTD.

Scores

Metal: Gold RMI SOR ID: CID001147 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, RJC CoC, SGE, CCCMC

O — OECD: 2/27 (7%) M — RMAP: 2/16 (12%) L — LBMA: 2/14 (14%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omp                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 1/9 (11%) D — DMCC: 2/35 (6%)

## **METALOR TECHNOLOGIES S.A.**

Scores

Metal: Gold RMI SOR ID: CID001153 SOR Headquarter Country: SWITZERLAND SOR URL Membership: RMAP Conformant, LBMA, RJC CoC, SGE

O — OECD: 2/27 (7%) M — RMAP: 2/16 (12%) L — LBMA: 2/14 (14%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? ID            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 1/9 (11%) D — DMCC: 2/35 (6%)

#### METALOR USA REFINING CORPORATION

Scores

Metal: Gold RMI SOR ID: CID001157 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant, LBMA, RJC CoC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?omute                          | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?out                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdo                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 1/9 (11%) D — DMCC: 2/35 (6%)

O — OECD: 2/27 (7%) M — RMAP: 2/16 (12%) L — LBMA: 2/14 (14%)

#### METALURGICA MET-MEX PENOLES S.A. DE C.V.

Scores

Metal: Gold RMI SOR ID: CID001161 SOR Headquarter Country: MEXICO SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

#### MITSUBISHI MATERIALS CORPORATION

O — OECD: 15/27 (56%)

Scores

M — RMAP: 11/16 (69%)

Metal: Gold RMI SOR ID: CID001188 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA, LME, SGE

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OML/DC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

J — RJC CoC: 4/9 (44%)

D — DMCC: 22/35 (63%)

L — LBMA: 9/14 (64%)

C — CCCMC: 8/15 (53%)

## MITSUI MINING AND SMELTING CO., LTD.

O — OECD: 13/27 (48%)

Scores

Metal: Gold RMI SOR ID: CID001193 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA

M — RMAP: 10/16 (62%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omldc                              | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

J — RJC CoC: 5/9 (56%)

D — DMCC: 20/35 (57%)

L — LBMA: 9/14 (64%)

### MMTC-PAMP INDIA PVT., LTD.

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

Scores

Metal: Gold RMI SOR ID: CID002509 SOR Headquarter Country: INDIA SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment? OMDC               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

## MODELTECH SDN BHD

Scores

Metal: Gold RMI SOR ID: CID002857 SOR Headquarter Country: MALAYSIA SOR URL Membership: RMAP Active

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlube                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omd                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment? OMDC               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies? ODC                  | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |
|   |       |  |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

#### MORRIS AND WATSON

Metal: Gold RMI SOR ID: CID002282 SOR Headquarter Country: NEW ZEALAND SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omljdc                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMUDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omd                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OND                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment? OMDC               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |
|   |       |  |       |

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%) C — CCCMC: 0/15 (0%)

## MORRIS AND WATSON GOLD COAST

Scores

Metal: Gold RMI SOR ID: CID002866 SOR Headquarter Country: AUSTRALIA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                                 | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                             | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                  | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                  | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                      | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                       | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?   | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? ONLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date? OLD                                    | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                         | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                          | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                                 | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                   | • • • |
|   |       | 42. Name of refinery in compliance report? LD                              | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                           | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD              | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?LD | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?oDC | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

## MOSCOW SPECIAL ALLOYS PROCESSING PLANT

Scores

Metal: Gold RMI SOR ID: CID001204 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?orb                       | • • • |
| .4. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| L6. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| I7. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? D                             | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| .8. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| .9. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

## NADIR METAL RAFINERI SAN. VE TIC. A.S.

Scores

Metal: Gold RMI SOR ID: CID001220 SOR Headquarter Country: TURKEY SOR URL Membership: RMAP Conformant, LBMA, DMCC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?                                   | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 4. Part of standard operating procedures and training?          |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| L5. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| I7. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| l8. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?                    | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

#### NAVOI MINING AND METALLURGICAL COMBINAT

Metal: Gold RMI SOR ID: CID001236 SOR Headquarter Country: UZBEKISTAN SOR URL Membership: LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlidc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

## NH RECYTECH COMPANY

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Metal: Gold RMI SOR ID: CID003189 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Active

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

### NIHON MATERIAL CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID001259 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

#### OGUSSA OSTERREICHISCHE GOLD- UND SILBER-SCHEIDEANSTALT GMBH

Metal: Gold RMI SOR ID: CID002779 SOR Headquarter Country: AUSTRIA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

(14%) J — RJC CoC: 2/9 (22%) D — DMCC: 2/35 (6%)

2/35 (6%) C — CCCMC: 1/15 (7%)

### OHURA PRECIOUS METAL INDUSTRY CO., LTD.

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

Scores

Metal: Gold RMI SOR ID: CID001325 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? ONJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

# OJSC "THE GULIDOV KRASNOYARSK NON-FERROUS METALS PLANT" (OJSC KRASTSVETMET)

Scores

Metal: Gold RMI SOR ID: CID001326 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant, LBMA, DMCC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? ONLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

# PAMP S.A.

Scores

Metal: Gold RMI SOR ID: CID001352 SOR Headquarter Country: SWITZERLAND SOR URL Membership: RMAP Conformant, LBMA, RJC CoC, DMCC, SGE

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 1. Conflict-free sourcing policy?                               |       | 35. Published audit reports?   | • • • |
| 2. Covered tin/tantalum materials?                              |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 4. Part of standard operating procedures and training?          |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| L5. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? D                             | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 8. Published risk report?                                       | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| .9. Outlined methodology of risk assessment?                    | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 4. Explained how red flags were identified?                     | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

# **PEASE & CURREN**

Scores

Metal: Gold RMI SOR ID: CID002872 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                                 | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                             | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                  | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                  | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                      | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                       | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?   | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? ONLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date? OLD                                    | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                         | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                          | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                                 | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                   | • • • |
|   |       | 42. Name of refinery in compliance report?                                 | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                           | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD              | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?LD | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?oDC | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

## PENGLAI PENGGANG GOLD INDUSTRY CO., LTD.

Metal: Gold RMI SOR ID: CID001362 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omc                                   | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

#### PLANTA RECUPERADORA DE METALES SPA

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

Scores

Metal: Gold RMI SOR ID: CID002919 SOR Headquarter Country: CHILE SOR URL Membership: RMAP Conformant, RMAP Active

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?omdc                           | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMUDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omp                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omb  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                    | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

#### PRIOKSKY PLANT OF NON-FERROUS METALS

Scores

Metal: Gold RMI SOR ID: CID001386 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? омо                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 5. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?omd                   | • • • | Step 4: Audits   |       |
| 1. Conflict-free sourcing policy?                               | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 3. Covered the DRC and adjoining countries?                     | • • • | 37. Audit activities and methodology described?old                       | • • • |
| .4. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| .5. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| l6. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| I7. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| l8. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 9. Outlined methodology of risk assessment?omdc                 | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

# PT ANEKA TAMBANG (PERSERO) TBK

Metal: Gold RMI SOR ID: CID001397 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OML/DC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?OMJDC                                 | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?ome  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

# PX PRECINOX S.A.

Scores

Metal: Gold RMI SOR ID: CID001498 SOR Headquarter Country: SWITZERLAND SOR URL Membership: RMAP Conformant, LBMA, RJC CoC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? ONLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 4. Part of standard operating procedures and training?          | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| l8. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?                    | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                    | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

# RAND REFINERY (PTY) LTD.

Metal: Gold RMI SOR ID: CID001512 SOR Headquarter Country: SOUTH AFRICA SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?                    | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

O — OECD: 13/27 (48%)

M — RMAP: 10/16 (62%)

L — LBMA: 9/14 (64%) J — RJC CoC: 6/9 (67%)

D — DMCC: 20/35 (57%) C — CCCMC: 8/15 (53%)

#### **REMONDIS ARGENTIA B.V.**

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Metal: Gold RMI SOR ID: CID002582 SOR Headquarter Country: NETHERLANDS SOR URL Membership: RMAP Active

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

#### **REPUBLIC METALS CORPORATION**

Metal: Gold RMI SOR ID: CID002510 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant, LBMA, RJC CoC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ompc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

O — OECD: 16/27 (59%)

M — RMAP: 12/16 (75%) L — LBMA: 7/14 (50%)

/14 (50%) J — RJC CoC: 5/9 (56%)

D — DMCC: 17/35 (49%) C — CCCMC: 6/15 (40%)

D — DMCC: 25/35 (71%) C — CCCMC: 11/15 (73%)

### **ROYAL CANADIAN MINT**

O — OECD: 18/27 (67%)

Scores

Metal: Gold RMI SOR ID: CID001534 SOR Headquarter Country: CANADA SOR URL Membership: RMAP Conformant, LBMA

M — RMAP: 13/16 (81%) L — LBMA: 9/14 (64%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD? OND                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?oup                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?                                      | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified? ODC                | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

J — RJC CoC: 6/9 (67%)

# SAAMP

Scores

Metal: Gold RMI SOR ID: CID002761 SOR Headquarter Country: FRANCE SOR URL Membership: RMAP Conformant, RJC CoC

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OML/DC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified? ODC                | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%)

C — CCCMC: 1/15 (7%)

#### SABIN METAL CORP.

Scores

Metal: Gold RMI SOR ID: CID001546 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                                 | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                             | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                  | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                  | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                      | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                       | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?   | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? ONLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date? OLD                                    | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                         | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                          | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                                 | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                   | • • • |
|   |       | 42. Name of refinery in compliance report?                                 | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                           | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD              | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?LD | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?oDC | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

# SAFIMET S.P.A

Scores

Metal: Gold RMI SOR ID: CID002973 SOR Headquarter Country: ITALY SOR URL Membership: RMAP Conformant

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

# SAFINA A.S.

Scores

Metal: Gold RMI SOR ID: CID002290 SOR Headquarter Country: CZECH REPUBLIC SOR URL Membership: RMAP Active

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?omuc                  | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

### **SAI REFINERY**

Metal: Gold RMI SOR ID: CID002853 SOR Headquarter Country: INDIA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%) C — CCCMC: 0/15 (0%)

# SAMDUCK PRECIOUS METALS

Scores

Metal: Gold RMI SOR ID: CID001555 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                                 | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                             | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| I. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                  | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                  | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                      | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                       | • • • |
| 3. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?   | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? ONLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date? OLD                                    | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                         | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                          | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                                 | • • • |
| 17. Policy in English?∟   | • • • | 41. Published Refiner compliance report?                                   | • • • |
|   |       | 42. Name of refinery in compliance report? LD                              | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                           | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD              | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?LD | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

### SAMWON METALS CORP.

Scores

Metal: Gold RMI SOR ID: CID001562 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership:

| Step 1: Company management systems                              |         | Step 3: Risk management  |              |
|---|---------|--|--------------|
| 1. Due diligence (DD) policy?omLJDC                             | • • •   | 27. Described steps taken to manage risks? OMJDC                         | • • •        |
| 2. Management structure described?omd                           | • • •   | 28. Included summary of risk mitigation?OMJDC                            | • • •        |
| 3. Designated responsible manager? OMD                          | • • •   | 29. Described training?  | • • •        |
| 4. Described transparency and info collection?                  | • • •   | 30. Involved affected stakeholders? OMJDC                                | • • •        |
| 5. Control systems over mineral supply chain?                   | • • •   | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • •        |
| 6. Control system strengthened DD?ond                           | • • •   | 32. Number of supplier disengagement instances? OMJDC                    | • • •        |
| 7. Record keeping system described?                             | • • •   | 33. Operational grievance mechanism?                                     | • • •        |
| 8. Explained methods for identifying all suppliers? OND         | • • •   | 34. Grievance mechanism procedure?                                       | • • •        |
| 9. Explained methods for sharing information? on                | • • •   |  |              |
| 10. Disclosure on payments to governments?                      | • • •   | Step 4: Audits   |              |
| 11. Conflict-free sourcing policy?                              | • • •   | 35. Published audit reports? OMLD  | • • •        |
| 12. Covered tin/tantalum materials?                             | • • •   | 36. Refiner details and audit date?old                                   | • • •        |
| 13. Covered the DRC and adjoining countries?                    | • • •   | 37. Audit activities and methodology described?old                       | • • •        |
| 14. Part of standard operating procedures and training?         | • • •   | 38. Audit conclusions in line with 5 DD steps?old                        | • • •        |
| 15. Effective date?   | • • •   | 39. Published LBMA Summary Report annually?                              | • • •        |
| 16. Shared with suppliers?                                      | • • •   | 40. Published auditor Assurance Report? LD                               | • • •        |
| 17. Policy in English?  | • • •   | 41. Published Refiner compliance report?                                 | • • •        |
|   |         | 42. Name of refinery in compliance report? LD                            | • • •        |
| Step 2: Risk assessment   |         | 43. Compliance time period in compliance report?                         | • • •        |
| 18. Published risk report?ombc                                  | • • •   | 44. Summary of compliance activities in compliance report? LD            | • • •        |
| 19. Outlined methodology of risk assessment?omdc                | • • •   | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • •        |
| 20. Explained methodology of risk assessment?                   | • • •   | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • •        |
| 21. Collaboration with upstream companies?opc                   | • • •   |  |              |
| 22. Company-specific circumstances considered in joint work?opc | • • •   |  |              |
| 23. Disclosed the actual or potential risks identified?opc      | • • •   | • • • YES  |              |
| 24. Explained how red flags were identified?opc                 | • • •   | • • • NA   |              |
| 25. Described the identified red flag suppliers? ODC            | • • •   | • • • NO   |              |
| 26. Steps to map red flag supplier operations?opc               | • • •   | • • • ungraded   |              |
| O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%) L — LB                  | MA: 0/1 | .4 (0%) J — RJC CoC: 0/9 (0%) D — DMCC: 0/35 (0%) C — CCCM               | C: 0/15 (0%) |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

#### SAXONIA EDELMETALLE GMBH

Metal: Gold RMI SOR ID: CID002777 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omp                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

#### SCHONE EDELMETAAL B.V.

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Metal: Gold RMI SOR ID: CID001573 SOR Headquarter Country: NETHERLANDS SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omb  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

#### SEMPSA JOYERIA PLATERIA S.A.

Scores

Metal: Gold RMI SOR ID: CID001585 SOR Headquarter Country: SPAIN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports?OMLD   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

# SHANDONG GOLD SMELTING CO., LTD.

Metal: Gold RMI SOR ID: CID001916 SOR Headquarter Country: CHINA SOR URL Membership: LBMA, SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

O — OECD: 16/27 (59%) M — RMAP: 12/16 (75%) L — LBMA: 6/14 (43%)

.: 6/14 (43%) J — RJC CoC: 5/9 (56%)

D — DMCC: 17/35 (49%) C — CCCMC: 6/15 (40%)

#### SHANDONG TIANCHENG BIOLOGICAL GOLD INDUSTRIAL CO., LTD.

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Scores

Metal: Gold RMI SOR ID: CID001619 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

### SHANDONG ZHAOJIN GOLD AND SILVER REFINERY CO. LTD

O — OECD: 16/27 (59%)

Scores

Metal: Gold RMI SOR ID: CID001622 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LBMA, SGE, CCCMC

M — RMAP: 12/16 (75%) L — LBMA: 6/14 (43%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 5/9 (56%)

D — DMCC: 17/35 (49%)

C — CCCMC: 6/15 (40%)

D — DMCC: 19/35 (54%) C — CCCMC: 7/15 (47%)

### SICHUAN TIANZE PRECIOUS METALS CO., LTD.

O — OECD: 18/27 (67%)

Scores

Metal: Gold RMI SOR ID: CID001736 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LBMA, CCCMC

M — RMAP: 13/16 (81%) L — LBMA: 6/14 (43%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omp                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 6/9 (67%)

# SINGWAY TECHNOLOGY CO., LTD.

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

Scores

Metal: Gold RMI SOR ID: CID002516 SOR Headquarter Country: TAIWAN, PROVINCE OF CHINA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omp                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?omD                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

# SO ACCURATE GROUP, INC.

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Metal: Gold RMI SOR ID: CID001754 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

D — DMCC: 18/35 (51%) C — CCCMC: 7/15 (47%)

### SOE SHYOLKOVSKY FACTORY OF SECONDARY PRECIOUS METALS

M — RMAP: 11/16 (69%)

O — OECD: 17/27 (63%)

Scores

Metal: Gold RMI SOR ID: CID001756 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMUDE                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? ONJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? MJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?ond          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? D                             | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                    | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 6/9 (67%)

L — LBMA: 7/14 (50%)

D — DMCC: 18/35 (51%) C — CCCMC: 7/15 (47%)

#### SOLAR APPLIED MATERIALS TECHNOLOGY CORP.

O — OECD: 17/27 (63%)

Scores

M — RMAP: 11/16 (69%)

Metal: Gold RMI SOR ID: CID001761 SOR Headquarter Country: TAIWAN, PROVINCE OF CHINA SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

J — RJC CoC: 6/9 (67%)

L — LBMA: 7/14 (50%)

# STATE RESEARCH INSTITUTE CENTER FOR PHYSICAL SCIENCES AND TECHNOLOGY

Metal: Gold RMI SOR ID: CID003153 SOR Headquarter Country: LITHUANIA SOR URL Membership:

Scores

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?                                   | • • • | 27. Described steps taken to manage risks? MJDC                            | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                             | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                  | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                  | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                      | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                       | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?   | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orb                                     | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                         | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                          | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                                 | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                   | • • • |
|   |       | 42. Name of refinery in compliance report?                                 | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                           | • • • |
| 18. Published risk report?onc                                   | • • • | 44. Summary of compliance activities in compliance report? LD              | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?LD | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

### SUDAN GOLD REFINERY

Metal: Gold RMI SOR ID: CID002567 SOR Headquarter Country: SUDAN SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?omdc                  | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omp                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports?omld   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?orp                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

### SUMITOMO METAL MINING CO., LTD.

O — OECD: 13/27 (48%)

Scores

Metal: Gold RMI SOR ID: CID001798 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA, LME

M — RMAP: 10/16 (62%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 4/9 (44%)

D — DMCC: 20/35 (57%)

L — LBMA: 9/14 (64%)

C — CCCMC: 7/15 (47%)

# SUNGEEL HITECH

Scores

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

Metal: Gold RMI SOR ID: CID002918 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlibc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?omd                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 2/14 (14%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

# T.C.A S.P.A

Scores

Metal: Gold RMI SOR ID: CID002580 SOR Headquarter Country: ITALY SOR URL Membership: RMAP Conformant, LBMA, RJC CoC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLJDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?                      | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omld   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

#### TANAKA KIKINZOKU KOGYO K.K.

O — OECD: 14/27 (52%)

Scores

Metal: Gold RMI SOR ID: CID001875 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA, DMCC

M — RMAP: 12/16 (75%) L — LBMA: 9/14 (64%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?ond                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?omd                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?obc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 6/9 (67%)

D — DMCC: 21/35 (60%)

C — CCCMC: 9/15 (60%)

# TOKURIKI HONTEN CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID001938 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlube                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 5. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 4. Part of standard operating procedures and training?          |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| L6. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? D                             | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| l8. Published risk report?омос                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| .9. Outlined methodology of risk assessment?                    | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

#### TONGLING NONFERROUS METALS GROUP CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID001947 SOR Headquarter Country: CHINA SOR URL Membership: LME, SGE, CCCMC

| Step 1: Company management systems                              | Step 3: Risk management  |       |
|---|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • 30. Involved affected stakeholders?омлос                                 | • • • |
| 5. Control systems over mineral supply chain?                   | ••• 31. Efforts to monitor risk mitigation performance?                        |       |
| 6. Control system strengthened DD?                              | • • • 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 |  |       |
| 10. Disclosure on payments to governments?                      | • • • Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • 35. Published audit reports?omlb   |       |
| 12. Covered tin/tantalum materials?                             | • • • 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • 37. Audit activities and methodology described?ord                       |       |
| 14. Part of standard operating procedures and training?         | • • • 38. Audit conclusions in line with 5 DD steps?old                        |       |
| 15. Effective date?   | • • • 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • 40. Published auditor Assurance Report? LD                               |       |
| 17. Policy in English?⊾   | • • • 41. Published Refiner compliance report?                                 | • • • |
|   | 42. Name of refinery in compliance report? LD                                  | • • • |
| Step 2: Risk assessment   | 43. Compliance time period in compliance report?                               | • • • |
| 18. Published risk report?ombc                                  | • • • 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | ••• 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?opc                   | • • •  |       |
| 22. Company-specific circumstances considered in joint work?opc |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

# TONY GOETZ NV

Scores

Metal: Gold RMI SOR ID: CID002587 SOR Headquarter Country: BELGIUM SOR URL Membership: RMAP Active, DMCC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks?                                 | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                   | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?омлос   | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                  | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                  | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                      | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                       | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?   | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omed   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                     | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                         | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                          | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                                | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report? 🗤                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                   | • • • |
|   |       | 42. Name of refinery in compliance report?                                 | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?LD                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD              | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?LD | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?     | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

### TOO TAU-KEN-ALTYN

Scores

Metal: Gold RMI SOR ID: CID002615 SOR Headquarter Country: KAZAKHSTAN SOR URL Membership:

| systems Step 3: Risk management   |            |
|---|------------|
| • • • 27. Described steps taken to manage risks? OMJDC •                                      | • • •      |
| ?омр • • • 28. Included summary of risk mitigation?омлрс •                                    | • • •      |
| POMD     • • •     29. Described training?omJDc   | • • •      |
| collection?op • • • 30. Involved affected stakeholders?omute •                                | • • •      |
| • • • 31. Efforts to monitor risk mitigation performance?omute •                              | • • •      |
| ?omp • • • 32. Number of supplier disengagement instances? OMJDC •                            | • • •      |
| ?omp • • • 33. Operational grievance mechanism?   | • • •      |
| g all suppliers? MD • • • 34. Grievance mechanism procedure?                                  | • • •      |
| formation?op  |            |
| ernments?omd • • • Step 4: Audits   |            |
| • • • 35. Published audit reports?omlb  | • • •      |
| ? ••• 36. Refiner details and audit date?old  | • • •      |
| s countries? ••• 37. Audit activities and methodology described?out                           | • • •      |
| edures and training? ••• 38. Audit conclusions in line with 5 DD steps?old                    | • • •      |
| • • • 39. Published LBMA Summary Report annually?   |            |
| • • • 40. Published auditor Assurance Report? LD  | • • •      |
| • • • 41. Published Refiner compliance report?  | • • •      |
| 42. Name of refinery in compliance report? D  | • • •      |
| 43. Compliance time period in compliance report?  | • • •      |
| • • • 44. Summary of compliance activities in compliance report? LD •                         | • • •      |
| ssessment?ompc • • • 45. Level of compliance with each step of LBMA RGG in compliance report? | • • •      |
| assessment? ••• 46. Management conclusion on LBMA RGG compliance in compliance report?        | • • •      |
| mpanies?opc • • •   |            |
| s considered in joint work?opc • • •  |            |
| I risks identified?opc  |            |
| entified?opc  |            |
| g suppliers?opc   |            |
| operations?opc • • • • ungraded   |            |
|   | C — CCCMC: |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

# TORECOM

Scores

Metal: Gold RMI SOR ID: CID001955 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Conformant

O — OECD: 2/27 (7%) M — RMAP: 2/16 (12%) L — LBMA: 2/14 (14%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?ond                           | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? D             | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 1/9 (11%) D — DMCC: 2/35 (6%)

C — CCCMC: 1/15 (7%)

### UMICORE BRASIL LTDA.

Scores

Metal: Gold RMI SOR ID: CID001977 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?onluce                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orb                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

### UMICORE PRECIOUS METALS THAILAND

Scores

Metal: Gold RMI SOR ID: CID002314 SOR Headquarter Country: THAILAND SOR URL Membership: RMAP Conformant, RJC CoC

O — OECD: 2/27 (7%) M — RMAP: 2/16 (12%) L — LBMA: 2/14 (14%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?OMJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

J — RJC CoC: 2/9 (22%) D — DMCC: 2/35 (6%)

C — CCCMC: 2/15 (13%)

### UMICORE S.A. BUSINESS UNIT PRECIOUS METALS REFINING

Scores

Metal: Gold RMI SOR ID: CID001980 SOR Headquarter Country: BELGIUM SOR URL Membership: RMAP Conformant, LBMA

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?omute                            | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports?omed   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

### UNITED PRECIOUS METAL REFINING, INC.

Scores

Metal: Gold RMI SOR ID: CID001993 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 5. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 3. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| .0. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?orp                       | • • • |
| 4. Part of standard operating procedures and training?          |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| L6. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?                                      | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                    | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                  | • • • | • • • ungraded   |       |

### UNIVERSAL PRECIOUS METALS REFINING ZAMBIA

Scores

Metal: Gold RMI SOR ID: CID002854 SOR Headquarter Country: ZAMBIA SOR URL Membership:

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?OMLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? OMJDC  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

# VALCAMBI S.A.

O — OECD: 17/27 (63%)

Scores

M — RMAP: 13/16 (81%)

Metal: Gold RMI SOR ID: CID002003 SOR Headquarter Country: SWITZERLAND SOR URL Membership: RMAP Conformant, LBMA, RJC CoC, DMCC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLDC                              | • • • | 27. Described steps taken to manage risks?                               |       |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?omuc                  | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports? MLD   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?oup                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                      | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

L — LBMA: 9/14 (64%)

J — RJC CoC: 8/9 (89%)

D — DMCC: 24/35 (69%)

C — CCCMC: 10/15 (67%)

# WESTERN AUSTRALIA MINT (T/A THE PERTH MINT)

Scores

Metal: Gold RMI SOR ID: CID002030 SOR Headquarter Country: AUSTRALIA SOR URL Membership: RMAP Conformant, LBMA, DMCC, SGE

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks? OMJDC                         | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?omd          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

### WIELAND EDELMETALLE GMBH

Metal: Gold RMI SOR ID: CID002778 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omljdc                             | • • • | 27. Described steps taken to manage risks?omute                          | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?omd                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omd                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments? OMD                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports?omed   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment? OMDC               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

Scores

O — OECD: 1/27 (4%) M — RMAP: 1/16 (6%)

L — LBMA: 1/14 (7%) J — RJC CoC: 1/9 (11%) D — DMCC: 1/35 (3%) C — CCCMC: 1/15 (7%)

## YAMAKIN CO., LTD.

Metal: Gold RMI SOR ID: CID002100 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation? OMJDC                           | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?omdc  | • • • |
| 4. Described transparency and info collection?op                | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD? OMD                          | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OMD         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

Scores

### YOKOHAMA METAL CO., LTD.

Metal: Gold RMI SOR ID: CID002129 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? OMLIDC                            | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance?omdc                  | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?omld   | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?ord                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

Scores

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%) C — CCCMC: 0/15 (0%)

# YUNNAN COPPER INDUSTRY CO., LTD.

O — OECD: 0/27 (0%) M — RMAP: 0/16 (0%)

Scores

Metal: Gold RMI SOR ID: CID000197 SOR Headquarter Country: CHINA SOR URL Membership: LME, SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLIDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                              | • • • | 28. Included summary of risk mitigation?OMJDC                            | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training? MJDC   | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   |       | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                   | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                             |       | 36. Refiner details and audit date?out                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?         |       | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   |       | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

L — LBMA: 0/14 (0%) J — RJC CoC: 0/9 (0%)

D — DMCC: 0/35 (0%)

C — CCCMC: 0/15 (0%)

D — DMCC: 15/35 (43%) C — CCCMC: 8/15 (53%)

### ZHONGYUAN GOLD SMELTER OF ZHONGJIN GOLD CORPORATION

O — OECD: 15/27 (56%)

Scores

Metal: Gold RMI SOR ID: CID002224 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LBMA, SGE, CCCMC

M — RMAP: 12/16 (75%) L — LBMA: 2/14 (14%)

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy?omlubc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omd                           | • • • | 28. Included summary of risk mitigation?                                 | • • • |
| 3. Designated responsible manager? OND                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance?OMJDC                 | • • • |
| 6. Control system strengthened DD?omp                           | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?omp                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?             | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?orp                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report? LD                               | • • • |
| 17. Policy in English?  | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omdc                                  | • • • | 44. Summary of compliance activities in compliance report? ID            | • • • |
| 19. Outlined methodology of risk assessment?omdc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers? ODC            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations? ODC              | • • • | • • • ungraded   |       |

J — RJC CoC: 5/9 (56%)

## ZIJIN MINING GROUP GOLD SMELTING CO., LTD.

Scores

Metal: Gold RMI SOR ID: CID002243 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LBMA, SGE, CCCMC

| Step 1: Company management systems                              |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| 1. Due diligence (DD) policy? MLJDC                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?omp                           | • • • | 28. Included summary of risk mitigation?omute                            | • • • |
| 3. Designated responsible manager? OMD                          | • • • | 29. Described training?  | • • • |
| 4. Described transparency and info collection?                  | • • • | 30. Involved affected stakeholders? OMJDC                                | • • • |
| 5. Control systems over mineral supply chain?                   | • • • | 31. Efforts to monitor risk mitigation performance? OMJDC                | • • • |
| 6. Control system strengthened DD?                              | • • • | 32. Number of supplier disengagement instances? OMJDC                    | • • • |
| 7. Record keeping system described?                             | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? OND         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?op                 | • • • |  |       |
| 10. Disclosure on payments to governments?                      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                              | • • • | 35. Published audit reports? OMLD  | • • • |
| 12. Covered tin/tantalum materials?                             | • • • | 36. Refiner details and audit date?old                                   | • • • |
| 13. Covered the DRC and adjoining countries?                    | • • • | 37. Audit activities and methodology described?old                       | • • • |
| 14. Part of standard operating procedures and training?         | • • • | 38. Audit conclusions in line with 5 DD steps?old                        | • • • |
| 15. Effective date?   | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                      | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?⊾   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report? LD                            | • • • |
| Step 2: Risk assessment   |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?ombc                                  | • • • | 44. Summary of compliance activities in compliance report? LD            | • • • |
| 19. Outlined methodology of risk assessment?ombc                | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?                   | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?opc                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?opc | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?opc      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?opc                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?opc             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?opc               | • • • | • • • ungraded   |       |

### ASAKA RIKEN CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID000092 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 5/6 (83%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### CHANGSHA SOUTH TANTALUM NIOBIUM CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID000211 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?м                         | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### CONGHUA TANTALUM AND NIOBIUM SMELTRY

Scores

Metal: Tantalum RMI SOR ID: CID000291 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers? <sub>0</sub>     | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        |       |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? м   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           |       |  |       |
| 22. Company-specific circumstances considered in joint work?         |       |  |       |
| 23. Disclosed the actual or potential risks identified?              |       | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     |       | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

## D BLOCK METALS, LLC

Scores

Metal: Tantalum RMI SOR ID: CID002504 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                                   | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

# DUOLUOSHAN

Scores

Metal: Tantalum RMI SOR ID: CID000410 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol> <li>Record keeping system described?</li> </ol>                 | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                                  | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

# **EXOTECH INC.**

Metal: Tantalum RMI SOR ID: CID000456 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%) Scores

### F&X ELECTRO-MATERIALS LTD.

Scores

Metal: Tantalum RMI SOR ID: CID000460 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, iTSCi, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 11/17 (65%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 6/9 (67%)

### FIR METALS & RESOURCE LTD.

Metal: Tantalum RMI SOR ID: CID002505 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol> <li>Record keeping system described?</li> </ol>                 | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>™</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           |       |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

Scores O — OECD: 3/17 (18%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

### **GLOBAL ADVANCED METALS AIZU**

Metal: Tantalum RMI SOR ID: CID002558 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol> <li>Record keeping system described?</li> </ol>                 | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0                 | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

Scores O — OECD: 3/17 (18%) M — RMAP: 5/6 (83%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

### **GLOBAL ADVANCED METALS BOYERTOWN**

Scores

Metal: Tantalum RMI SOR ID: CID002557 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 3/17 (18%) M — RMAP: 5/6 (83%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

#### **GUANGDONG RISING RARE METALS-EO MATERIALS LTD.**

Scores

Metal: Tantalum RMI SOR ID: CID000291 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 3/17 (18%) M — RMAP: 5/6 (83%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

### GUANGDONG ZHIYUAN NEW MATERIAL CO., LTD.

Metal: Tantalum RMI SOR ID: CID000616 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, iTSCi, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                        | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

Scores O — OECD: 4/17 (24%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

# H.C. STARCK CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID002544 SOR Headquarter Country: THAILAND SOR URL Membership: RMAP Conformant, iTSCi

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 4/17 (24%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

## H.C. STARCK HERMSDORF GMBH

Scores

Metal: Tantalum RMI SOR ID: CID002547 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?м                         | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             |       | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 4/17 (24%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

## H.C. STARCK INC.

Metal: Tantalum RMI SOR ID: CID002548 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

Scores O — OECD: 4/17 (24%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

# H.C. STARCK LTD.

Metal: Tantalum RMI SOR ID: CID002549 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores O — OECD: 4/17 (24%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

## H.C. STARCK SMELTING GMBH & CO. KG

Scores

Metal: Tantalum RMI SOR ID: CID002550 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant, iTSCi

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?0         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? м                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 4/17 (24%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

### H.C. STARCK TANTALUM AND NIOBIUM GMBH

Scores

Metal: Tantalum RMI SOR ID: CID002545 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 4/17 (24%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

### HENGYANG KING XING LIFENG NEW MATERIALS CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID002492 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### HI-TEMP SPECIALTY METALS, INC.

Scores

Metal: Tantalum RMI SOR ID: CID000731 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

### JIANGXI DINGHAI TANTALUM & NIOBIUM CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID002512 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| <ol> <li>Conflict-free sourcing policy? M</li> </ol>         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### JIANGXI TUOHONG NEW RAW MATERIAL

Scores

Metal: Tantalum RMI SOR ID: CID002842 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### JIUJIANG JANNY NEW MATERIAL CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID003191 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 3/17 (18%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### JIUJIANG JINXIN NONFERROUS METALS CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID000914 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, iTSCi, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                        | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol><li>Record keeping system described?</li></ol>                   | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 3/17 (18%) M — RMAP: 2/6 (33%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

#### JIUJIANG NONFERROUS METALS SMELTING COMPANY LIMITED

Scores

Metal: Tantalum RMI SOR ID: CID000917 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>™</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 5/17 (29%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

#### JIUJIANG ZHONGAO TANTALUM & NIOBIUM CO., LTD.

Metal: Tantalum RMI SOR ID: CID002506 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores O — OECD: 2/17 (12%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

## **KEMET BLUE METALS**

Metal: Tantalum RMI SOR ID: CID002539 SOR Headquarter Country: MEXICO SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores

O — OECD: 15/17 (88%)

M — RMAP: 6/6 (100%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 8/9 (89%)

## **KEMET BLUE POWDER**

Metal: Tantalum RMI SOR ID: CID002568 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             |       | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 15/17 (88%) Scores

M — RMAP: 6/6 (100%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 8/9 (89%)

### KING-TAN TANTALUM INDUSTRY LTD.

Metal: Tantalum RMI SOR ID: CID000973 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0                 | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?м                        | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

Scores O — OECD: 4/17 (24%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

# LSM BRASIL S.A.

Scores

Metal: Tantalum RMI SOR ID: CID001076 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

0 — OECD: 2/17 (12%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

### METALLURGICAL PRODUCTS INDIA PVT., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID001163 SOR Headquarter Country: INDIA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 2/17 (12%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### MINERACAO TABOCA S.A.

Metal: Tantalum RMI SOR ID: CID001175 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores O — OECD: 5/17 (29%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

### NINGXIA ORIENT TANTALUM INDUSTRY CO., LTD.

Metal: Tantalum RMI SOR ID: CID001277 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores O — OECD: 6/17 (35%) M — RMAP: 5/6 (83%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

## NPM SILMET AS

Scores

Metal: Tantalum RMI SOR ID: CID001200 SOR Headquarter Country: ESTONIA SOR URL Membership: RMAP Conformant, iTSCi

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

0 — OECD: 2/17 (12%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

# POWER RESOURCES LTD.

Scores

Metal: Tantalum RMI SOR ID: CID002847 SOR Headquarter Country: MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 5/17 (29%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

## QUANTUMCLEAN

Scores

Metal: Tantalum RMI SOR ID: CID001508 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                                   | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                        |       |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                                  | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?   |       | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                           |       |  |       |
| 22. Company-specific circumstances considered in joint work?         |       |  |       |
| 23. Disclosed the actual or potential risks identified?              |       | • • • YES  |       |
| 24. Explained how red flags were identified?                         |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

# **RESIND INDUSTRIA E COMERCIO LTDA.**

Metal: Tantalum RMI SOR ID: CID002707 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

Scores O — OECD: 5/17 (29%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

## RFH TANTALUM SMELTRY CO., LTD.

Metal: Tantalum RMI SOR ID: CID001522 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores O — OECD: 5/17 (29%) M — RMAP: 5/6 (83%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

### SOLIKAMSK MAGNESIUM WORKS OAO

Scores

Metal: Tantalum RMI SOR ID: CID001769 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

## TAKI CHEMICAL CO., LTD.

Metal: Tantalum RMI SOR ID: CID001869 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, iTSCi

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores

O — OECD: 1/17 (6%) M — RMAP: 4/6 (67%)

L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

# **TELEX METALS**

Scores

Metal: Tantalum RMI SOR ID: CID001891 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant, iTSCi

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

# TRANZACT, INC.

Scores

Metal: Tantalum RMI SOR ID: CID002571 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership:

|   |       | Step 3: Risk management  |       |
|---|-------|--|-------|
| Due diligence (DD) policy?oc                                | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?o                         | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                        | • • • | 29. Described training?oc  | • • • |
| I. Described transparency and info collection?              |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| <ol><li>Control system strengthened DD?</li></ol>           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                         | • • • | 33. Operational grievance mechanism?                                     |       |
| 3. Explained methods for identifying all suppliers?         | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?               |       |  |       |
| .0. Disclosure on payments to governments?o                 | • • • | Step 4: Audits   |       |
| .1. Conflict-free sourcing policy? м                        | • • • | 35. Published audit reports?   | • • • |
| .2. Covered tin/tantalum materials? <sub>M</sub>            | • • • | 36. Refiner details and audit date?                                      |       |
| .3. Covered the DRC and adjoining countries?                | • • • | 37. Audit activities and methodology described?                          |       |
| 4. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| .5. Effective date? <sub>M</sub>                            | • • • | 39. Published LBMA Summary Report annually?                              |       |
| .6. Shared with suppliers? M                                | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| .7. Policy in English?                                      |       | 41. Published Refiner compliance report?                                 | • • • |
|   |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                     |       | 43. Compliance time period in compliance report?                         |       |
| .8. Published risk report?oc                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| .9. Outlined methodology of risk assessment?oc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                  |       |  |       |
| 22. Company-specific circumstances considered in joint work |       |  |       |
| 23. Disclosed the actual or potential risks identified?     |       | • • • YES  |       |
| 24. Explained how red flags were identified?                |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?            | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?              | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

## **ULBA METALLURGICAL PLANT JSC**

Metal: Tantalum RMI SOR ID: CID001969 SOR Headquarter Country: KAZAKHSTAN SOR URL Membership: RMAP Conformant, iTSCi

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0                 | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     |       | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

Scores O — OECD: 4/17 (24%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 4/9 (44%)

#### XINXING HAORONG ELECTRONIC MATERIAL CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID002508 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

## YICHUN JIN YANG RARE METAL CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID002307 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?м                         | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

### ZHUZHOU CEMENTED CARBIDE GROUP CO., LTD.

Scores

Metal: Tantalum RMI SOR ID: CID002232 SOR Headquarter Country: CHINA SOR URL Membership: iTSCi, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0                 | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?o                          | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

# ALPHA

Scores

Metal: Tin RMI SOR ID: CID000292 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### AN THAI MINERALS CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID002825 SOR Headquarter Country: VIET NAM SOR URL Membership:

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?o  | • • • |
| 12. Covered tin/tantalum materials?™                                 | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

### AN VINH JOINT STOCK MINERAL PROCESSING COMPANY

Metal: Tin RMI SOR ID: CID002703 SOR Headquarter Country: VIET NAM SOR URL Membership:

|       | Step 3: Risk management  |  |
|-------|--|--|
| • • • | 27. Described steps taken to manage risks?oc   | • • •  |
| • • • | 28. Included summary of risk mitigation?oc   | • • •  |
| • • • | 29. Described training?oc  | • • •  |
|       | 30. Involved affected stakeholders?oc  | • • •  |
| • • • | 31. Efforts to monitor risk mitigation performance?oc  | • • •  |
| • • • | 32. Number of supplier disengagement instances?  | • • •  |
| • • • | 33. Operational grievance mechanism?   | • • •  |
| • • • | 34. Grievance mechanism procedure?   | • • •  |
|       |  |  |
| • • • | Step 4: Audits   |  |
| • • • | 35. Published audit reports?   | • • •  |
| • • • | 36. Refiner details and audit date?  | • • •  |
| • • • | 37. Audit activities and methodology described?  | • • •  |
| • • • | 38. Audit conclusions in line with 5 DD steps?   | • • •  |
| • • • | 39. Published LBMA Summary Report annually?  | • • •  |
| • • • | 40. Published auditor Assurance Report?  | • • •  |
|       | 41. Published Refiner compliance report?   | • • •  |
|       | 42. Name of refinery in compliance report?   | • • •  |
|       | 43. Compliance time period in compliance report?   | • • •  |
| • • • | 44. Summary of compliance activities in compliance report?   | • • •  |
| • • • | 45. Level of compliance with each step of LBMA RGG in compliance report?   | • • •  |
| • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • •  |
|       |  |  |
| ? ••• |  |  |
|       | • • • YES  |  |
|       | • • • NA   |  |
|       | • • • NO   |  |
|       | • • • ungraded   |  |
|       | <ul> <li>• • •</li> &lt;</ul> | <ul> <li>27. Described steps taken to manage risks?oc</li> <li>28. Included summary of risk mitigation?oc</li> <li>29. Described training?oc</li> <li>30. Involved affected stakeholders?oc</li> <li>31. Efforts to monitor risk mitigation performance?oc</li> <li>32. Number of supplier disengagement instances?</li> <li>33. Operational grievance mechanism?</li> <li>34. Grievance mechanism procedure?</li> <li>Step 4: Audits</li> <li>35. Published audit reports?o</li> <li>36. Refiner details and audit date?</li> <li>37. Audit activities and methodology described?</li> <li>38. Audit conclusions in line with 5 DD steps?</li> <li>39. Published LBMA Summary Report annually?</li> <li>40. Published Refiner compliance report?</li> <li>41. Published Refiner compliance report?</li> <li>43. Compliance time period in compliance report?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>78. NA</li> <li>NO</li> </ul> |

Scores O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

### CHENZHOU YUNXIANG MINING AND METALLURGY CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID000228 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{0}$                            | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 5/17 (29%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

### CHIFENG DAJINGZI TIN INDUSTRY CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID003190 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Active, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

# CHINA TIN GROUP CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID001070 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LME, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 2/17 (12%) M — RMAP: 5/6 (83%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

# CNMC (GUANGXI) PGMA CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID000278 SOR Headquarter Country: CHINA SOR URL Membership: LME, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?м                         | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

# COOPERATIVA METALURGICA DE RONDONIA LTDA.

Scores

Metal: Tin RMI SOR ID: CID000295 SOR Headquarter Country: BRAZIL SOR URL Membership:

| 1. Due diligence (DD) policy?oc                                    | 27. Described steps taken to manage risks?oc                             | • • • |
|--|--|-------|
| 2. Management structure described?                                 | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                               | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                     | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                      | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                                 | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information? • • •                |  |       |
| 10. Disclosure on payments to governments?                         | Step 4: Audits   |       |
|  | 35. Published audit reports?o  | • • • |
|  | 36. Refiner details and audit date?                                      | • • • |
| · ·  | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?            | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub> ● ● ●                             | 39. Published LBMA Summary Report annually?                              | • • • |
|  | 40. Published auditor Assurance Report?                                  | • • • |
|  | 41. Published Refiner compliance report?                                 | • • • |
|  | 42. Name of refinery in compliance report?                               | • • • |
| •  | 43. Compliance time period in compliance report?                         | • • • |
|  | 44. Summary of compliance activities in compliance report?               | • • • |
|  | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
|  | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                         |  |       |
| 22. Company-specific circumstances considered in joint work? • • • |  |       |
|  | • • • YES  |       |
|  | • • • NA   |       |
|  | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                     | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

# CV AYI JAYA

Metal: Tin RMI SOR ID: CID002570 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                                   | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

Scores

O — OECD: 1/17 (6%) M — RMAP: 4/6 (67%)

L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### CV DUA SEKAWAN

Metal: Tin RMI SOR ID: CID002592 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{0}$                    | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol><li>Record keeping system described?</li></ol>           | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

# **CV GITA PESONA**

Scores

Metal: Tin RMI SOR ID: CID000306 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sup>™</sup>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### CV SERUMPUN SEBALAI

Scores

Metal: Tin RMI SOR ID: CID000313 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 2/17 (12%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

# CV TIGA SEKAWAN

Metal: Tin RMI SOR ID: CID002593 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{0}$                    | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol><li>Record keeping system described?</li></ol>           | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# CV UNITED SMELTING

Metal: Tin RMI SOR ID: CID000315 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                                   | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments? <sub>0</sub>              | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |
| 20. Steps to map red mag supplier operations:                        |       |  |       |

# **CV VENUS INTI PERKASA**

Scores

Metal: Tin RMI SOR ID: CID002455 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?o                          | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# DA NANG PROCESSING IMPORT AND EXPORT JOINT STOCK

Scores

Metal: Tin RMI SOR ID: CID003154 SOR Headquarter Country: VIET NAM SOR URL Membership:

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?o  | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? $_{M}$                                    | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

## DOWA

Scores

Metal: Tin RMI SOR ID: CID000402 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# ELECTRO-MECHANICAL FACILITY OF THE CAO BANG MINERALS & METALLURGY JOINT STOCK COMPANY

Metal: Tin RMI SOR ID: CID002572 SOR Headquarter Country: VIET NAM SOR URL Membership: RMAP Active

Scores

|       | Step 3: Risk management  |  |
|-------|--|--|
| • • • | 27. Described steps taken to manage risks?oc                             | • • •  |
| • • • | 28. Included summary of risk mitigation?oc                               | • • •  |
| • • • | 29. Described training?oc  | • • •  |
|       | 30. Involved affected stakeholders?oc                                    | • • •  |
| • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • •  |
| • • • | 32. Number of supplier disengagement instances?                          |  |
| • • • | 33. Operational grievance mechanism?                                     |  |
| • • • | 34. Grievance mechanism procedure?                                       |  |
| • • • |  |  |
| • • • | Step 4: Audits   |  |
| • • • | 35. Published audit reports?   | • • •  |
| • • • | 36. Refiner details and audit date?                                      | • • •  |
| • • • | 37. Audit activities and methodology described?                          | • • •  |
| • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • •  |
| • • • | 39. Published LBMA Summary Report annually?                              | • • •  |
| • • • | 40. Published auditor Assurance Report?                                  |  |
|       | 41. Published Refiner compliance report?                                 |  |
|       | 42. Name of refinery in compliance report?                               | • • •  |
|       | 43. Compliance time period in compliance report?                         | • • •  |
| • • • | 44. Summary of compliance activities in compliance report?               |  |
| • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |  |
| • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |  |
|       |  |  |
|       |  |  |
|       | • • • YES  |  |
| • • • | • • • NA   |  |
| • • • | • • • NO   |  |
| • • • | • • • ungraded   |  |
|       |  | <ul> <li>27. Described steps taken to manage risks?oc</li> <li>28. Included summary of risk mitigation?oc</li> <li>29. Described training?oc</li> <li>30. Involved affected stakeholders?oc</li> <li>31. Efforts to monitor risk mitigation performance?oc</li> <li>32. Number of supplier disengagement instances?</li> <li>33. Operational grievance mechanism?</li> <li>34. Grievance mechanism procedure?</li> <li>Step 4: Audits</li> <li>35. Published audit reports?o</li> <li>36. Refiner details and audit date?</li> <li>37. Audit activities and methodology described?</li> <li>38. Audit conclusions in line with 5 DD steps?</li> <li>39. Published auditor Assurance Report?</li> <li>40. Published Refiner compliance report?</li> <li>42. Name of refinery in compliance report?</li> <li>43. Compliance time period in compliance report?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. NA</li> <li>NO</li> </ul> |

# ELMET S.L.U.

Scores

Metal: Tin RMI SOR ID: CID002774 SOR Headquarter Country: SPAIN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

# **EM VINTO**

Metal: Tin RMI SOR ID: CID000438 SOR Headquarter Country: BOLIVIA (PLURINATIONAL STATE OF) SOR URL Membership: RMAP Conformant, LME

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol><li>Record keeping system described?</li></ol>                   | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        |       |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              |       | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

#### ESTANHO DE RONDONIA S.A.

Metal: Tin RMI SOR ID: CID000448 SOR Headquarter Country: BRAZIL SOR URL Membership:

|  |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| Due diligence (DD) policy?oc                               | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| Management structure described?                            | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| Designated responsible manager? o                          | • • • | 29. Described training?oc  | • • • |
| Described transparency and info collection?                | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| Control systems over mineral supply chain?o                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| Control system strengthened DD?0                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| Record keeping system described?                           | • • • | 33. Operational grievance mechanism?                                     | • • • |
| Explained methods for identifying all suppliers?           | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| Explained methods for sharing information?                 | • • • |  |       |
| . Disclosure on payments to governments?o                  | • • • | Step 4: Audits   |       |
| . Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| . Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| . Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| . Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| . Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| . Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| . Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| ep 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| . Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| . Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| . Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| . Collaboration with upstream companies?                   | • • • |  |       |
| . Company-specific circumstances considered in joint work? | • • • |  |       |
| . Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| . Explained how red flags were identified?                 | • • • | • • • NA   |       |
| . Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| . Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# FENIX METALS

Metal: Tin RMI SOR ID: CID000468 SOR Headquarter Country: POLAND SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

Scores O — OECD: 4/17 (24%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

# **GEJIU FENGMING METALLURGY CHEMICAL PLANT**

Scores

Metal: Tin RMI SOR ID: CID002848 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                               |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                  | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                               | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                             | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                   |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                   | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                              | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                              | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers? <sub>0</sub> | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                    | • • • |  |       |
| 10. Disclosure on payments to governments?                       | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                             | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                 | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>        | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?          | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                 | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                     | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                     | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                   | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                  | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                       | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?     | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?          | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                     | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                 | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                   | • • • | • • • ungraded   |       |

## **GEJIU JINYE MINERAL COMPANY**

Metal: Tin RMI SOR ID: CID002859 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LME, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

Scores O — OECD: 4/17 (24%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 4/9 (44%)

#### **GEJIU KAI MENG INDUSTRY AND TRADE LLC**

Metal: Tin RMI SOR ID: CID000942 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores

#### **GEJIU NON-FERROUS METAL PROCESSING CO., LTD.**

Scores

Metal: Tin RMI SOR ID: CID000538 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### GEJIU YUNXIN NONFERROUS ELECTROLYSIS CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID001908 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?м                         | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

### GEJIU ZILI MINING AND METALLURGY CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID000555 SOR Headquarter Country: CHINA SOR URL Membership: LME, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

#### GUANGDONG HANHE NON-FERROUS METAL CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID003116 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

## **GUANYANG GUIDA NONFERROUS METAL SMELTING PLANT**

Scores

Metal: Tin RMI SOR ID: CID002849 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?o                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## HUICHANG HILL TIN INDUSTRY CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID002844 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0                 | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?м                        | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

## HUICHANG JINSHUNDA TIN CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID000760 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### JIANGXI KETAI ADVANCED MATERIAL CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID000244 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# MAGNU'S MINERAIS METAIS E LIGAS LTDA.

Metal: Tin RMI SOR ID: CID002468 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores

# MALAYSIA SMELTING CORPORATION (MSC)

Metal: Tin RMI SOR ID: CID001105 SOR Headquarter Country: MALAYSIA SOR URL Membership: RMAP Conformant, LME, iTSCi

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?м                         | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores O — OECD: 3/17 (18%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

## MELT METAIS E LIGAS S.A.

Scores

Metal: Tin RMI SOR ID: CID002500 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| <ol> <li>Conflict-free sourcing policy? M</li> </ol>                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sup>M</sup>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

# METALLIC RESOURCES, INC.

Metal: Tin RMI SOR ID: CID001142 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0                 | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                                  | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>™</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |
|  |       |  |       |

Scores O — OECD: 3/17 (18%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

#### METALLO SPAIN S.L.U.

Scores

Metal: Tin RMI SOR ID: CID002774 SOR Headquarter Country: SPAIN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sup>M</sup>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## METALLO-CHIMIQUE N.V.

Scores

Metal: Tin RMI SOR ID: CID002773 SOR Headquarter Country: BELGIUM SOR URL Membership: RMAP Conformant, LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### MINERACAO TABOCA S.A.

Scores

Metal: Tin RMI SOR ID: CID001173 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant, LME

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sup>M</sup>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

## MINSUR

Scores

Metal: Tin RMI SOR ID: CID001182 SOR Headquarter Country: PERU SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# MITSUBISHI MATERIALS CORPORATION

O — OECD: 11/17 (65%)

Scores

Metal: Tin RMI SOR ID: CID001191 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

M — RMAP: 6/6 (100%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 5/9 (56%)

## MODELTECH SDN BHD

Scores

Metal: Tin RMI SOR ID: CID002858 SOR Headquarter Country: MALAYSIA SOR URL Membership: RMAP Active

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

#### NANKANG NANSHAN TIN MANUFACTORY CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID001231 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, RMAP Active, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### NGHE TINH NON-FERROUS METALS JOINT STOCK COMPANY

Scores

Metal: Tin RMI SOR ID: CID002573 SOR Headquarter Country: VIET NAM SOR URL Membership:

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol><li>Record keeping system described?</li></ol>                   | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?м                                 | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

## O.M. MANUFACTURING (THAILAND) CO., LTD.

Scores

Metal: Tin RMI SOR ID: CID001314 SOR Headquarter Country: THAILAND SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0         | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?™     | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### **O.M. MANUFACTURING PHILIPPINES, INC.**

Metal: Tin RMI SOR ID: CID002517 SOR Headquarter Country: PHILIPPINES SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

Scores

### **OPERACIONES METALURGICAL S.A.**

Metal: Tin RMI SOR ID: CID001337 SOR Headquarter Country: BOLIVIA (PLURINATIONAL STATE OF) SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

Scores O — OECD: 7/17 (41%) M — RMAP: 5/6 (83%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 4/9 (44%)

### PT ARIES KENCANA SEJAHTERA

Scores

Metal: Tin RMI SOR ID: CID000309 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

### PT ARTHA CIPTA LANGGENG

Metal: Tin RMI SOR ID: CID001399 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol> <li>Record keeping system described?</li> </ol>                 | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        |       |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           |       |  |       |
| 22. Company-specific circumstances considered in joint work?         |       |  |       |
| 23. Disclosed the actual or potential risks identified?              |       | • • • YES  |       |
| 24. Explained how red flags were identified?                         |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

#### PT ATD MAKMUR MANDIRI JAYA

Metal: Tin RMI SOR ID: CID002503 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### PT BABEL INTI PERKASA

Metal: Tin RMI SOR ID: CID001402 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, LME, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0                 | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?o  | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sup>™</sup>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

### PT BANGKA PRIMA TIN

Metal: Tin RMI SOR ID: CID002776 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

#### PT BANGKA SERUMPUN

Metal: Tin RMI SOR ID: CID003205 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, RMAP Active, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

## PT BANGKA TIN INDUSTRY

Metal: Tin RMI SOR ID: CID001419 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### PT BELITUNG INDUSTRI SEJAHTERA

Scores

Metal: Tin RMI SOR ID: CID001421 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol><li>Record keeping system described?</li></ol>           | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## PT BUKIT TIMAH

Metal: Tin RMI SOR ID: CID001428 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, LME, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             |       | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

### PT CIPTA PERSADA MULIA

Scores

Metal: Tin RMI SOR ID: CID002696 SOR Headquarter Country: INDONESIA SOR URL Membership: ICDX

| 1. Due diligence (DD) policy?oc       27. Described steps taken to manage risks?oc         2. Management structure described?o       28. Included steps taken to manage risks?oc         3. Designated responsible manage? o       28. Included steps taken to manage risks?oc         4. Described transparency and info collection?       29. Described training?oc         5. Control systems over mineral supply chain?o       30. Involved affected stakeholders?oc         6. Control system strengthened DD?o       31. Efforts to monitor risk mitigation performance?oc         7. Record keeping system described?o       33. Operational grievance mechanism?         8. Explained methods for identifying all suppliers?o       33. Operational grievance mechanism?         9. Explained methods for identifying more profile training?o       33. Operational grievance mechanism?         10. Disclosure on payments to governments?o       35. Published audit reports?o         11. Conflict-free sourcing policy? #       35. Published audit reports?o         12. Covered the DRC and adjoining countries?#       36. Refiner details and audit date?         31. Effective date?#       38. Audit activities and methodology described?         32. Number of suppliers? #       40. Published LBMA Summary Report annually?         40. Published datid report?       40. Published audit report?         41. Published methodology of risk assessment?oc       40. Published fast report?   | Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|--|-------|--|-------|
| <ul> <li>3. Designated responsible manager? •</li> <li>4. Described transparency and info collection?</li> <li>5. Control systems over mineral supply chain? •</li> <li>6. Control system strengthened DD? •</li> <li>7. Record keeping system described? •</li> <li>8. Explained methods for identifying all suppliers? •</li> <li>9. Explained methods for sharing information?</li> <li>10. Disclosure on payments to governments? •</li> <li>11. Conflict-free sourcing policy? *</li> <li>12. Covered the DRC and adjoining countries? *</li> <li>13. Covered the DRC and adjoining countries? *</li> <li>14. Part of standard operating procedures and training? *</li> <li>15. Effective date? *</li> <li>16. Shared with suppliers? *</li> <li>17. Policy in English? *</li> <li>18. Published risk report? •</li> <li>19. Outlined methodogy of risk assessment? •</li> <li>19. Outlined methodogy of risk assessment? •</li> <li>10. Disclosed the autod opy of risk assessment? •</li> <li>10. Disclosed the autod opy of risk assessment? •</li> <li>18. Published risk report? •</li> <li>19. Outlined methodology of risk assessment? •</li> <li>10. Company-specific circumstances considered in joint work?</li> <li>20. Explained how red flags were identified?</li> <li>21. Explained how red flags were identified?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the identified red flag suppliers? •</li> <li>24. Explained how red flags were identified?</li> <li>25. Described the identified red flag suppliers? •</li> <li>25. Described the identified red flag suppliers? •</li> <li>26. Staper identified red flag suppliers? •</li> <li>27. Company-specific circumstances considered in joint work? •</li> <li>25. Described the identified red flag suppliers? •</li> <li>26. Staper identified red flag suppliers? •</li> <li>27. Company-specific circumstances considered in joint work? •</li> <li>28. Disclosed the actual or potential risks identified? •</li> <li>29. Described the identified red flag suppliers? •</li> <li>20. Expl</li></ul> | 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                           | • • • |
| <ul> <li>4. Described transparency and info collection?</li> <li>4. Described transparency and info collection?</li> <li>5. Control systems over mineral supply chain?o</li> <li>6. Control systems trengthened DD?o</li> <li>7. Record keeping system described?o</li> <li>8. Explained methods for identifying all suppliers?o</li> <li>9. Explained methods for sharing information?</li> <li>0. Disclosure on payments to governments?o</li> <li>10. Disclosure on payments to governments?o</li> <li>11. Conflict-free sourcing policy? *</li> <li>12. Covered the DR? and adjoining countries?*</li> <li>13. Effective date?*</li> <li>14. Part of standard operating procedures and training?*</li> <li>15. Effective date?*</li> <li>16. Shared with suppliers? *</li> <li>17. Policy in English?</li> <li>18. Published risk report?o</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Disclosed the autod compaliance?</li> <li>21. Company-specific circumstances considered in joint work?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Explained methodology of risk aspessment?oc</li> <li>24. Explained methodology of risk aspessment?oc</li> <li>25. Described the identified?</li> <li>26. Subjective data adjoin the sidentified?</li> <li>27. Company-specific circumstances considered in joint work?</li> <li>28. Disclosed the actual or potential risks identified?</li> <li>29. Explained methodology of risk aspessment?oc</li> <li>20. Explained methodology of risk aspessment?oc</li> <li>21. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>34. Subjective data field rigit appliers?</li> <li>35. Published the identified red flag suppliers?</li> <li>36. Published risk report?</li> <li>37. Audit activities and compliance report?</li> <li>38. Audit conclusion on LBMA RGG compliance report?</li> <li>39. Published the actual or potential risks identified?</li> <li>30. Disclo</li></ul> | 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                             | • • • |
| 5. Control systems over mineral supply chain?o       31. Efforts to monitor risk mitigation performance?oc         6. Control system strengthened DD?o       32. Number of supplier disengagement instances?         7. Record keeping system described?o       33. Operational grievance mechanism?         8. Explained methods for identifying all suppliers?o       34. Grievance mechanism procedure?         9. Explained methods for sharing information?       35. Published audit reports?o         10. Disclosure on payments to governments?o       36. Refiner details and audit date?         12. Covered tin/tantalum materials?w       36. Refiner details and audit date?         33. Operational grievance Report?       40         14. Part of standard operating procedures and training?w       38. Audit conclusions in line with 5 DD steps?         15. Effective date?w       39. Published LBMA Summary Report annually?         16. Shared with suppliers? w       40. Published Refiner compliance report?         17. Policy in English?       41. Published Refiner compliance report?         42. Name of feinery in compliance report?       44. Summary of compliance activities in compliance report?         18. Published risk report?oc       44. Summary of compliance activities in compliance report?         19. Outlined methodology of risk assessment?oc       45. Level of compliance with each step of LBMA RGG in compliance report?         12. Collaboration with upstream companies?       <  | 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| <ul> <li>6. Control system strengthened DD?o</li> <li>7. Record keeping system described?o</li> <li>8. Explained methods for identifying all suppliers?o</li> <li>9. Explained methods for identifying all suppliers?o</li> <li>9. Explained methods for sharing information?</li> <li>10. Disclosure on payments to governments?o</li> <li>11. Conflict-free sourcing policy? M</li> <li>12. Covered tin/tantalum materials?M</li> <li>13. Covered tin/tantalum materials?M</li> <li>14. Part of standard operating procedures and training?M</li> <li>15. Effective date?M</li> <li>16. Shared with suppliers? M</li> <li>17. Policy in English?</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Collaboration with upstream companies?</li> <li>11. Conflict-risk sidentified?</li> <li>12. Covered tin 2 protectures and training?M</li> <li>13. Covered tin brok suppliers? M</li> <li>14. Part of standard operating procedures and training?M</li> <li>15. Effective date?M</li> <li>16. Shared with suppliers? M</li> <li>17. Policy in English?</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Collaboration with upstream companies?</li> <li>11. Collaboration with upstream companies?</li> <li>12. Company-specific circumstances considered in joint work?</li> <li>13. Disclosed the actual or potential risks identified?</li> <li>14. Explained methodology of fight assessment?oc</li> <li>15. Described the identified red flag suppliers?</li> <li>16. Described the identified red flag suppliers?</li> <li>17. Policy in English?</li> <li>18. Published red flag suppliers?</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Explained methodology of risk assessment?oc</li> <li>11. Collaboration with upstream companies?</li> <li>12. Company-specific circumstances considered in joint work?</li> <li>13. Evel of compliance activities in compliance in compliance report?</li> <li>14. Summary of compliance with each step of LBMA RGG in complianc</li></ul> | 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                  | • • • |
| 7. Record keeping system described?o       33. Operational grievance mechanism?         8. Explained methods for identifying all suppliers?o       34. Grievance mechanism procedure?         9. Explained methods for sharing information?       34. Grievance mechanism procedure?         9. Explained methods for sharing information?       34. Grievance mechanism procedure?         9. Explained methods for sharing information?       35. Published audit reports?o         10. Disclosure on payments to governments?o       35. Published audit reports?o         12. Covered tin/tantalum materials?w       36. Refiner details and audit date?         37. Audit activities and methodology described?       46. Refiner details and methodology described?         39. Published LBMA Summary Report annually?       40. Published audit report?         40. Published Refiner compliance report?       40. Published Refiner compliance report?         41. Published risk report?oc       44. Summary of compliance report?         43. Compliance time period in compliance report?       44. Summary of compliance activities in compliance report?         45. Level of compliance with each step of LBMA RGG in compliance report?       46. Management conclusion on LBMA RGG compliance in compliance report?         44. Summary of period in compliance in compliance report?       46. Management conclusion on LBMA RGG compliance in compliance report?         45. Described the identified red flag suppliers?       46. Management conclusion   | 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                  | • • • |
| <ul> <li>8. Explained methods for identifying all suppliers?o</li> <li>9. Explained methods for sharing information?</li> <li>10. Disclosure on payments to governments?o</li> <li>11. Conflict-free sourcing policy? M</li> <li>22. Covered tin/tantalum materials?M</li> <li>13. Covered the DRC and adjoining countries?M</li> <li>14. Part of standard operating procedures and training?M</li> <li>15. Effective date?M</li> <li>16. Shared with suppliers? M</li> <li>17. Policy in English?</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Collaboration with upstream companies?</li> <li>12. Collaboration with upstream companies?</li> <li>13. Compliance trian of the priod in joint work?</li> <li>14. Part of standard operating procedures and training?M</li> <li>15. Effective date?M</li> <li>16. Shared with suppliers?</li> <li>17. Policy in English?</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Collaboration with upstream companies?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>24. Explained methodology of risk aspersement?in the identified?</li> <li>25. Described the identified red flag suppliers?</li> <li>34. Grievance mechanism procedure?</li> <li>34. Grievance mechanism procedure?</li> <li>35. Published audit reports?o</li> <li>36. Refiner details and audit date?</li> <li>37. Audit activities and methodology of risk assessment?oc</li> <li>39. Published ladit on compliance report?</li> <li>40. Published audit on summary of compliance report?</li> <li>41. Published audit on potential risks identified?</li> <li>42. Name of refinery in compliance report?</li> <li>43. Compliance with each step of LBMA RGG in compliance report?</li> <li>44. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclu</li></ul> | 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                        | • • • |
| <ul> <li>9. Explained methods for sharing information?</li> <li>10. Disclosure on payments to governments?o</li> <li>11. Conflict-free sourcing policy? M</li> <li>12. Covered tin/tantalum materials?M</li> <li>13. Covered tin/tantalum materials?M</li> <li>14. Part of standard operating procedures and training?M</li> <li>15. Effective date?M</li> <li>16. Shared with suppliers? M</li> <li>17. Policy in English?</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Disclosure atom with upstream companies?</li> <li>11. Conflict-free sourcing policy? M</li> <li>12. Covered tin/tantalum materials?M</li> <li>13. Covered tin/tantalum materials?M</li> <li>14. Part of standard operating procedures and training?M</li> <li>15. Effective date?M</li> <li>16. Shared with suppliers?</li> <li>17. Policy in English?</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Collaboration with upstream companies?</li> <li>11. Conflict-free source and training?M</li> <li>12. Explained how red flags were identified?</li> <li>13. Explained how red flags were identified?</li> <li>14. Explained how red flags uppliers?</li> <li>15. Step 4: Audits</li> <li>16. Shared the identified red flag suppliers?</li> <li>17. Policy in English?</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Explained how red flags suppliers?</li> <li>11. Collaboration with upstream companies?</li> <li>12. Collaboration with upstream companies?</li> <li>13. Disclosed the actual or potential risk identified?</li> <li>14. Explained how red flags uppliers?</li> <li>15. Discribed the identified red flag suppliers?</li> <li>16. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>17. Policy in English?</li> <li>18. Published in at infined?</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Explained how red flags suppliers?</li> <li>11. Conflict free supplicient?</li> <li>1</li></ul> | 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                   | • • • |
| 10. Disclosure on payments to governments?o       Step 4: Audits         11. Conflict-free sourcing policy? M       35. Published audit reports?o          12. Covered tin /tantalum materials?im       36. Refiner details and audit date?          13. Covered the DRC and adjoining countries?im       36. Refiner details and audit date?          14. Part of standard operating procedures and training?im       38. Audit conclusions in line with 5 DD steps?          15. Effective date?im        39. Published LBMA Summary Report annually?          16. Shared with suppliers? im         40. Published audit report?          17. Policy in English?         41. Published risk report?oc           18. Published risk report?oc              19. Outlined methodology of risk assessment?oc              20. Explained methodology of risk assessment?oc              21. Collaboration with upstream companies?               22. Company-specific circumstances considered in joint work?   | 8. Explained methods for identifying all suppliers?0                 | • • • | 34. Grievance mechanism procedure?                                     | • • • |
| <ul> <li>11. Conflict-free sourcing policy? M</li> <li>12. Covered tin/tantalum materials?M</li> <li>13. Covered the DRC and adjoining countries?M</li> <li>14. Part of standard operating procedures and training?M</li> <li>15. Effective date?M</li> <li>16. Shared with suppliers? M</li> <li>17. Policy in English?</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>10. Outlined methodology of risk assessment?oc</li> <li>11. Collaboration with upstream companies?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>24. Explained how red flags were identified?</li> <li>25. Described the identified red flag suppliers?</li> <li>35. Published audit reports?o</li> <li>36. Refiner details and audit date?</li> <li>37. Audit activities and methodology described?</li> <li>38. Audit conclusions in line with 5 DD steps?</li> <li>39. Published LBMA Summary Report annually?</li> <li>40. Published audit report?</li> <li>41. Published Refiner compliance report?</li> <li>42. Name of refinery in compliance report?</li> <li>43. Compliance time period in compliance report?</li> <li>44. Summary of compliance with each step of LBMA RGG in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>48. Audit conclusion on LBMA RGG compliance in compliance report?</li> <li>49. Published the identified?</li> <li>40. Published audit reports?</li> <li>41. Published audit reports?</li> <li>42. Name of refinery in conclusion on LBMA RGG compliance in compliance report?</li> <li>43. Or Planting audit conclusion on LBMA RGG compliance in compliance report?</li> <li>44. Summary of compliance audit audit</li></ul> | 9. Explained methods for sharing information?                        | • • • |  |       |
| 12. Covered tin/tantalum materials?M       36. Refiner details and audit date?         13. Covered the DRC and adjoining countries?M       37. Audit activities and methodology described?         14. Part of standard operating procedures and training?M       38. Audit conclusions in line with 5 DD steps?         15. Effective date?M       39. Published LBMA Summary Report annually?         16. Shared with suppliers? M       40. Published auditor Assurance Report?         17. Policy in English?       40. Published Refiner compliance report?         41. Published risk report?oc       44. Summary of compliance report?         18. Published risk report?oc       44. Summary of compliance activities in compliance report?         19. Outlined methodology of risk assessment?oc       44. Summary of compliance with each step of LBMA RGG in compliance report?         20. Explained methodology of risk assessment?oc       45. Level of compliance with each step of LBMA RGG compliance report?         45. Level of compliance with each step of LBMA RGG compliance report?       46. Management conclusion on LBMA RGG compliance in compliance report?         21. Collaboration with upstream companies?       44.         23. Disclosed the actual or potential risks identified?       44.         24. Explained how red flags were identified?       44.         25. Described the identified red flag suppliers?       44.  | 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| <ul> <li>13. Covered the DRC and adjoining countries?</li> <li>14. Part of standard operating procedures and training?</li> <li>15. Effective date?</li> <li>16. Shared with suppliers?</li> <li>17. Policy in English?</li> <li>38. Audit conclusions in line with 5 DD steps?</li> <li>39. Published LBMA Summary Report annually?</li> <li>40. Published auditor Assurance Report?</li> <li>41. Published Refiner compliance report?</li> <li>42. Name of refinery in compliance report?</li> <li>43. Compliance time period in compliance report?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Sumary OF Sectific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>44. Explained how red flags were identified?</li> <li>45. Described the identified red flag suppliers?</li> <li>46. NA</li> </ul>  | 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| <ul> <li>14. Part of standard operating procedures and training?</li> <li>15. Effective date?</li> <li>16. Shared with suppliers? M</li> <li>17. Policy in English?</li> <li>38. Audit conclusions in line with 5 DD steps?</li> <li>39. Published LBMA Summary Report annually?</li> <li>40. Published auditor Assurance Report?</li> <li>41. Published Refiner compliance report?</li> <li>42. Name of refinery in compliance report?</li> <li>43. Compliance time period in compliance report?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Disclosed the actual or potential risks identified?</li> <li>48. Summary of compliance on LBMA RGG compliance in compliance report?</li> <li>49. Published auditor Assurance Report?</li> <li>40. Published auditor Assurance Report?</li> <li>41. Published Refiner compliance report?</li> <li>42. Name of refinery in compliance report?</li> <li>43. Compliance time period in compliance report?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>45. Level of compliance on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>48. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>49. Explained how red flags were identified?</li> <li>40. Published auditor Assurance Report?</li> <li>40. Published auditor Assurance Report?</li> <li>41. Published Refiner compliance report?</li> <li>42. Name of refinery in compliance report?</li> <li>43. Compliance time period in compliance report?</li> <li>44. Summary of compliance report?</li> <li>45. Level of compliance activities in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. NA</li> <li>48. Disclosed the a</li></ul> | 12. Covered tin/tantalum materials?м                                 | • • • | 36. Refiner details and audit date?                                    | • • • |
| <ul> <li>15. Effective date?M</li> <li>16. Shared with suppliers? M</li> <li>17. Policy in English?</li> <li>5tep 2: Risk assessment</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>20. Explained methodology of risk assessment?oc</li> <li>21. Collaboration with upstream companies?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>24. Explained how red flags were identified?</li> <li>25. Described the identified red flag suppliers?</li> <li>39. Published LBMA Summary Report annually?</li> <li>39. Published LBMA Summary Report annually?</li> <li>40. Published auditor Assurance Report?</li> <li>41. Published Refiner compliance report?</li> <li>42. Name of refinery in compliance report?</li> <li>43. Compliance time period in compliance report?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Name of refinery in compliance in compliance report?</li> <li>48. Summary of compliance on LBMA RGG compliance in compliance report?</li> <li>49. Explained how red flags were identified?</li> <li>40. Published LBMA Summary Report annually?</li> <li>41. Published Refiner compliance with each step of LBMA RGG compliance report?</li> <li>42. Name of compliance on LBMA RGG compliance in compliance report?</li> <li>43. Compliance VES</li> <li>44. Summary OS Summary Report annually?</li> <li>45. Level of Compliance Activities in Compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Explained how red flags suppliers?</li> <li>48. Summary OS Summary Report annually?</li> <li>49. NA</li> </ul>   | 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                        | • • • |
| <ul> <li>16. Shared with suppliers? M</li> <li>17. Policy in English?</li> <li>Step 2: Risk assessment</li> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>20. Explained methodology of risk assessment?oc</li> <li>21. Collaboration with upstream companies?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>24. Explained how red flags were identified?</li> <li>25. Described the identified red flag suppliers?</li> <li>40. Published auditor Assurance Report?</li> <li>41. Published Refiner compliance report?</li> <li>42. Name of refinery in compliance report?</li> <li>43. Compliance time period in compliance report?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Summary of VES</li> <li>48. NA</li> <li>49. Published auditor Assurance Report?</li> <li>49. Nate of refinery in compliance report?</li> <li>40. Published Refiner compliance report?</li> <li>41. Published Refiner compliance report?</li> <li>42. Name of refinery in compliance report?</li> <li>44. Summary of compliance with each step of LBMA RGG in compliance report?</li> <li>45. Level of compliance on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. NA</li> <li>48. NNO</li> </ul>   | 14. Part of standard operating procedures and training? <sub>M</sub> | • • • |  | • • • |
| 17. Policy in English?41. Published Refiner compliance report?Step 2: Risk assessment42. Name of refinery in compliance report?18. Published risk report?oc43. Compliance time period in compliance report?19. Outlined methodology of risk assessment?oc44. Summary of compliance activities in compliance report?20. Explained methodology of risk assessment?oc45. Level of compliance with each step of LBMA RGG in compliance report?21. Collaboration with upstream companies?44.22. Company-specific circumstances considered in joint work?44.23. Disclosed the actual or potential risks identified?44.24. Explained how red flags were identified?44.25. Described the identified red flag suppliers?44.   | 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                            | • • • |
| Step 2: Risk assessment         18. Published risk report?oc         19. Outlined methodology of risk assessment?oc         20. Explained methodology of risk assessment?oc         21. Collaboration with upstream companies?         22. Company-specific circumstances considered in joint work?         23. Disclosed the actual or potential risks identified?         24. Explained how red flags were identified?         25. Described the identified red flag suppliers?  | 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                | • • • |
| Step 2: Risk assessment         18. Published risk report?oc         19. Outlined methodology of risk assessment?oc         20. Explained methodology of risk assessment?oc         21. Collaboration with upstream companies?         22. Company-specific circumstances considered in joint work?         23. Disclosed the actual or potential risks identified?         24. Explained how red flags were identified?         25. Described the identified red flag suppliers?  | 17. Policy in English?   | • • • |  | • • • |
| <ul> <li>18. Published risk report?oc</li> <li>19. Outlined methodology of risk assessment?oc</li> <li>20. Explained methodology of risk assessment?oc</li> <li>21. Collaboration with upstream companies?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>24. Explained how red flags were identified?</li> <li>25. Described the identified red flag suppliers?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Summary of compliance with each step of LBMA RGG in compliance report?</li> <li>48. Summary of compliance with each step of LBMA RGG in compliance report?</li> <li>49. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>40. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>41. Summary of compliance with each step of LBMA RGG in compliance report?</li> <li>42. Explained how red flags were identified?</li> <li>43. Disclosed the identified red flag suppliers?</li> <li>44. Summary of compliance activities in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Summary of Compliance activities in compliance report?</li> <li>48. Summary of Compliance activities in compliance report?</li> <li>49. Management conclusion on LBMA RGG compliance in compliance activities in compliance</li></ul>  |  |       |  | • • • |
| <ul> <li>19. Outlined methodology of risk assessment?oc</li> <li>20. Explained methodology of risk assessment?oc</li> <li>21. Collaboration with upstream companies?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>24. Explained how red flags were identified?</li> <li>25. Described the identified red flag suppliers?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>48. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>49. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>40. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>40. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>41. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>42. Explained how red flags were identified?</li> <li>43. Disclosed the identified red flag suppliers?</li> <li>44. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>45. Level of compliance with each step of LBMA RGG in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>48. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>49. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>40. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>40. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>41. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>42. Explained how red flags supplier?</li> <li>43. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>44. Management concl</li></ul> | •  |       |  | • • • |
| <ul> <li>20. Explained methodology of risk assessment?oc</li> <li>21. Collaboration with upstream companies?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>24. Explained how red flags were identified?</li> <li>25. Described the identified red flag suppliers?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>47. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>48. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>49. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>40. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>40. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>41. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>42. Company-specific circumstances considered in joint work?</li> <li>43. Disclosed the actual or potential risks identified?</li> <li>44. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>45. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> <li>46. Management conclusion on LBMA RGG compliance in compliance report?</li> </ul>                                    | •  | • • • |  | • • • |
| <ul> <li>21. Collaboration with upstream companies?</li> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>24. Explained how red flags were identified?</li> <li>25. Described the identified red flag suppliers?</li> <li>Anticipation work?</li> <li>An</li></ul> |  | • • • |  | • • • |
| <ul> <li>22. Company-specific circumstances considered in joint work?</li> <li>23. Disclosed the actual or potential risks identified?</li> <li>24. Explained how red flags were identified?</li> <li>25. Described the identified red flag suppliers?</li> <li>Anticipation of the identified red flag suppliers?</li> <li>Anticipation of the identified red flag suppliers?</li> </ul>  |  | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report? | • • • |
| 23. Disclosed the actual or potential risks identified?       ••• YES         24. Explained how red flags were identified?       ••• NA         25. Described the identified red flag suppliers?       ••• NO  |  | • • • |  |       |
| 24. Explained how red flags were identified?       ••• NA         25. Described the identified red flag suppliers?       ••• NO  |  | • • • |  |       |
| 25. Described the identified red flag suppliers? ••• NO  | •  | • • • | • • • YES  |       |
|  |  | • • • |  |       |
| 26. Steps to map red flag supplier operations?   | 0  | • • • |  |       |
|  | 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

### PT DS JAYA ABADI

Scores

Metal: Tin RMI SOR ID: CID001434 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                        |       |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?   |       | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                           |       |  |       |
| 22. Company-specific circumstances considered in joint work?         |       |  |       |
| 23. Disclosed the actual or potential risks identified?              |       | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

O — OECD: 3/17 (18%) M — RMAP: 5/6 (83%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

### PT EUNINDO USAHA MANDIRI

Metal: Tin RMI SOR ID: CID001438 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol><li>Record keeping system described?</li></ol>           | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### PT INTI STANIA PRIMA

Metal: Tin RMI SOR ID: CID002530 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# PT JUSTINDO

Scores

Metal: Tin RMI SOR ID: CID000307 SOR Headquarter Country: INDONESIA SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

#### PT KARIMUN MINING

Metal: Tin RMI SOR ID: CID001448 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? м                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### PT KIJANG JAYA MANDIRI

Metal: Tin RMI SOR ID: CID002829 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? м                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### PT LAUTAN HARMONIS SEJAHTERA

Scores

Metal: Tin RMI SOR ID: CID002870 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?0                          | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 0/6 (0%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

### PT MENARA CIPTA MULIA

Scores

Metal: Tin RMI SOR ID: CID002835 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

#### PT MITRA STANIA PRIMA

Scores

Metal: Tin RMI SOR ID: CID001453 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, LME, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## PT O.M. INDONESIA

Scores

Metal: Tin RMI SOR ID: CID002757 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                               |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                  | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                               | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                             | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                   |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                    | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                              | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                              | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers? <sub>0</sub> | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                    | • • • |  |       |
| 10. Disclosure on payments to governments?                       | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                             | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                 | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>        | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?          | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                 | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers? M                                     | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                     | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc                   | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc                  | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                       | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?     | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?          |       | • • • YES  |       |
| 24. Explained how red flags were identified?                     |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?                 | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                   |       | • • • ungraded   |       |

### PT PANCA MEGA PERSADA

Metal: Tin RMI SOR ID: CID001457 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? м                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? м   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           |       |  |       |
| 22. Company-specific circumstances considered in joint work?         |       |  |       |
| 23. Disclosed the actual or potential risks identified?              |       | • • • YES  |       |
| 24. Explained how red flags were identified?                         |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

#### PT PRIMA TIMAH UTAMA

Metal: Tin RMI SOR ID: CID001458 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, LME, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?м                         | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### PT REFINED BANGKA TIN

Metal: Tin RMI SOR ID: CID001460 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, LME, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?o                  | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### PT SARIWIGUNA BINASENTOSA

Metal: Tin RMI SOR ID: CID001463 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?₀c                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                        | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                                  | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   |       | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           |       |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

### PT STANINDO INTI PERKASA

Metal: Tin RMI SOR ID: CID001468 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

### PT SUKSES INTI MAKMUR

Metal: Tin RMI SOR ID: CID002816 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

### PT SUMBER JAYA INDAH

Metal: Tin RMI SOR ID: CID001471 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%) Scores

# PT TIMAH (PERSERO) TBK KUNDUR

Scores

Metal: Tin RMI SOR ID: CID001477 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, LME, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

# PT TIMAH (PERSERO) TBK MENTOK

Metal: Tin RMI SOR ID: CID001482 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, LME, ICDX

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments? <sub>0</sub>      | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# PT TININDO INTER NUSA

Scores

Metal: Tin RMI SOR ID: CID001490 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, LME, ICDX

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? $_{\circ}$                        | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                                  | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sup>™</sup>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

### PT TOMMY UTAMA

Metal: Tin RMI SOR ID: CID001493 SOR Headquarter Country: INDONESIA SOR URL Membership: RMAP Conformant, ICDX

| 1. Due diligence (DD) policy?oc                              |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| I. Due differice (DD) policy: oc                             | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?o                          | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?o                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? м                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? м                                 | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### **RESIND INDUSTRIA E COMERCIO LTDA.**

Metal: Tin RMI SOR ID: CID002706 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? 💿                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### **RUI DA HUNG**

Scores

Metal: Tin RMI SOR ID: CID001539 SOR Headquarter Country: TAIWAN, PROVINCE OF CHINA SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

### SOFT METAIS LTDA.

Scores

Metal: Tin RMI SOR ID: CID001758 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

# **SUPER LIGAS**

Scores

Metal: Tin RMI SOR ID: CID002756 SOR Headquarter Country: BRAZIL SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 0/17 (0%) M — RMAP: 2/6 (33%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 0/9 (0%)

# THAISARCO

Scores

Metal: Tin RMI SOR ID: CID001898 SOR Headquarter Country: THAILAND SOR URL Membership: RMAP Conformant, LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o               | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 9/17 (53%) M — RMAP: 3/6 (50%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 5/9 (56%)

### TUYEN QUANG NON-FERROUS METALS JOINT STOCK COMPANY

Scores

Metal: Tin RMI SOR ID: CID002574 SOR Headquarter Country: VIET NAM SOR URL Membership:

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                        | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                                  | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                         | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       | • • • | • • • ungraded   |       |

### VQB MINERAL AND TRADING GROUP JSC

Scores

Metal: Tin RMI SOR ID: CID002015 SOR Headquarter Country: VIET NAM SOR URL Membership:

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? •                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>             | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

#### WHITE SOLDER METALURGIA E MINERACAO LTDA.

Metal: Tin RMI SOR ID: CID002036 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant, LME

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                              | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                         | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                          | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                         | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>    | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                             | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M                                 | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc                                 | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc               | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc              | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores O — OECD: 3/17 (18%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

#### YUNNAN CHENGFENG NON-FERROUS METALS CO., LTD.

Metal: Tin RMI SOR ID: CID002158 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LME, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       |       | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| <ol><li>Record keeping system described?</li></ol>                   | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?                  | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries? <sub>M</sub>            | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? м   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

Scores O — OECD: 3/17 (18%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

### YUNNAN TIN COMPANY LIMITED

Metal: Tin RMI SOR ID: CID002180 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, LME, CCCMC

| Step 1: Company management systems                                   |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?oc                                      | • • • | 27. Described steps taken to manage risks?oc                             | • • • |
| 2. Management structure described?                                   | • • • | 28. Included summary of risk mitigation?oc                               | • • • |
| 3. Designated responsible manager? o                                 | • • • | 29. Described training?oc  | • • • |
| 4. Described transparency and info collection?                       | • • • | 30. Involved affected stakeholders?oc                                    | • • • |
| 5. Control systems over mineral supply chain?o                       | • • • | 31. Efforts to monitor risk mitigation performance?oc                    | • • • |
| 6. Control system strengthened DD?0                                  | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                                  | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?0                 | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                        | • • • |  |       |
| 10. Disclosure on payments to governments?                           | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy? M                                 | • • • | 35. Published audit reports?o  | • • • |
| 12. Covered tin/tantalum materials? <sub>M</sub>                     | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?м                        | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training? <sub>M</sub> | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date? <sub>M</sub>                                     | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers? M   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?   | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment  |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?oc   | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?oc                       | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?oc                      | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                           | • • • |  |       |
| 22. Company-specific circumstances considered in joint work?         | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?              | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                         |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?                     | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?                       |       | • • • ungraded   |       |

Scores O — OECD: 5/17 (29%) M — RMAP: 4/6 (67%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

# A.L.M.T. TUNGSTEN CORP.

Metal: Tungsten RMI SOR ID: CID000004 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?onc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?ом                 | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

Scores

O — OECD: 4/17 (24%)

M — RMAP: 4/17 (24%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

# ACL METAIS EIRELI

Scores

Metal: Tungsten RMI SOR ID: CID002833 SOR Headquarter Country: BRAZIL SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?omc   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       | •  |       |

### ASIA TUNGSTEN PRODUCTS VIETNAM LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002502 SOR Headquarter Country: VIET NAM SOR URL Membership: RMAP Conformant, iTSCi

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?                                   | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?omc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

## CHENZHOU DIAMOND TUNGSTEN PRODUCTS CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002513 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?омс                                   | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omc                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

### CHONGYI ZHANGYUAN TUNGSTEN CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID000258 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?onc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?omc   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?onc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

## DAYU WEILIANG TUNGSTEN CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID000345 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?omc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   | _     |
|  |       |  |       |

## FUJIAN JINXIN TUNGSTEN CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID000499 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?omc   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

#### GANZHOU HAICHUANG TUNGSTEN INDUSTRY CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002645 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Active, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

#### GANZHOU HUAXING TUNGSTEN PRODUCTS CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID000875 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           |       | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      |       | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       | ·  |       |

### GANZHOU JIANGWU FERROTUNGSTEN CO., LTD.

Metal: Tungsten RMI SOR ID: CID002315 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?                                | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?ом                 | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      |       | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             |       | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

Scores

O — OECD: 2/17 (12%)

M — RMAP: 2/17 (12%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

## GANZHOU SEADRAGON W & MO CO., LTD.

Metal: Tungsten RMI SOR ID: CID002494 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?om        | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
| 0  | • • • |  |       |

## GANZHOU YATAI TUNGSTEN CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002536 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?omc                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?om             | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

## **GLOBAL TUNGSTEN & POWDERS CORP.**

Scores

Metal: Tungsten RMI SOR ID: CID000568 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      |       | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

### GUANGDONG XIANGLU TUNGSTEN CO., LTD.

Metal: Tungsten RMI SOR ID: CID000218 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?om        | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
| 0  | • • • |  |       |

## H.C. STARCK SMELTING GMBH & CO. KG

Scores

Metal: Tungsten RMI SOR ID: CID002542 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant, iTSCi, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

# H.C. STARCK TUNGSTEN GMBH

Scores

Metal: Tungsten RMI SOR ID: CID002541 SOR Headquarter Country: GERMANY SOR URL Membership: RMAP Conformant, iTSCi, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?onc                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? OM                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?om             | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

## HUNAN CHENZHOU MINING CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID000766 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?omc   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

### HUNAN CHUANGDA VANADIUM TUNGSTEN CO., LTD. WUJI

Scores

Metal: Tungsten RMI SOR ID: CID002579 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

#### HUNAN CHUNCHANG NONFERROUS METALS CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID000769 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?omc   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

### HUNAN LITIAN TUNGSTEN INDUSTRY CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID003182 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Active, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?омс                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  | -     |

# HYDROMETALLURG, JSC

Scores

Metal: Tungsten RMI SOR ID: CID002649 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?om        | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?om                 | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           |       | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      |       | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   |       | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       | ·  |       |

### JAPAN NEW METALS CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID000825 SOR Headquarter Country: JAPAN SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?om             | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?omc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

### JIANGWU H.C. STARCK TUNGSTEN PRODUCTS CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002551 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omc                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?omc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

### JIANGXI DAYU LONGXINTAI TUNGSTEN CO., LTD.

Metal: Tungsten RMI SOR ID: CID002647 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?omc                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?omc   | • • • |
| 4. Described transparency and info collection?om             | • • • | 30. Involved affected stakeholders?омс                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

Scores

# JIANGXI GAN BEI TUNGSTEN CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002321 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?omc   | • • • |
| 4. Described transparency and info collection?om             | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

#### JIANGXI MINMETALS GAO'AN NON-FERROUS METALS CO., LTD.

Metal: Tungsten RMI SOR ID: CID002313 SOR Headquarter Country: CHINA SOR URL Membership: CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?omc                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?omc   | • • • |
| 4. Described transparency and info collection?om             | • • • | 30. Involved affected stakeholders?омс                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

Scores

## JIANGXI TONGGU NON-FERROUS METALLURGICAL & CHEMICAL CO., LTD.

Metal: Tungsten RMI SOR ID: CID002318 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?omc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?ом                 | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  | -     |

Scores

O — OECD: 5/17 (29%)

M — RMAP: 5/17 (29%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

#### JIANGXI XINSHENG TUNGSTEN INDUSTRY CO., LTD.

O — OECD: 5/17 (29%)

Scores

Metal: Tungsten RMI SOR ID: CID002317 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?om             | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

M — RMAP: 5/17 (29%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

### JIANGXI XIUSHUI XIANGGAN NONFERROUS METALS CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002535 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

## JIANGXI YAOSHENG TUNGSTEN CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002316 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?                                | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  |       | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   |       | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

## **KENNAMETAL FALLON**

O — OECD: 3/17 (18%)

Scores

Metal: Tungsten RMI SOR ID: CID000966 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? OM                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?omc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

For full indicators and explanations see our report: 3TG+C Smelter and Refiner Disclosure Conformance with Leading Due Diligence and Assurance Standards.

M — RMAP: 3/17 (18%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### **KENNAMETAL HUNTSVILLE**

O — OECD: 3/17 (18%)

Scores

Metal: Tungsten RMI SOR ID: CID000105 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? OM                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      |       | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  |       | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   |       | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      |       | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

M — RMAP: 3/17 (18%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

## MALIPO HAIYU TUNGSTEN CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002319 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

O — OECD: 5/17 (29%) M — RMAP: 5/17 (29%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

# MOLIREN LTD.

O — OECD: 4/17 (24%)

Scores

Metal: Tungsten RMI SOR ID: CID002845 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?om             | • • • | 30. Involved affected stakeholders?омс                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

M — RMAP: 4/17 (24%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

### NIAGARA REFINING LLC

Scores

Metal: Tungsten RMI SOR ID: CID002589 SOR Headquarter Country: UNITED STATES OF AMERICA SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described? <sub>☉M</sub>            | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 3/17 (18%) M — RMAP: 3/17 (18%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

#### NUI PHAO H.C. STARCK TUNGSTEN CHEMICALS MANUFACTURING LLC

Metal: Tungsten RMI SOR ID: CID002543 SOR Headquarter Country: VIET NAM SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

Scores

O — OECD: 4/17 (24%)

M — RMAP: 4/17 (24%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

#### PHILIPPINE CHUANGXIN INDUSTRIAL CO., INC.

Metal: Tungsten RMI SOR ID: CID002827 SOR Headquarter Country: PHILIPPINES SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?onc                             | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

Scores

O — OECD: 3/17 (18%)

M — RMAP: 3/17 (18%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

#### SOUTH-EAST NONFERROUS METAL COMPANY LIMITED OF HENGYANG CITY

O — OECD: 3/17 (18%)

Scores

Metal: Tungsten RMI SOR ID: CID002815 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?onc                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

M — RMAP: 3/17 (18%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

# **TEJING (VIETNAM) TUNGSTEN CO., LTD.**

Scores

Metal: Tungsten RMI SOR ID: CID001889 SOR Headquarter Country: VIET NAM SOR URL Membership: RMAP Conformant

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?                                | • • • | 27. Described steps taken to manage risks?onc                            | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           |       | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 |       | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      |       | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  |       | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   |       | 40. Published auditor Assurance Report?                                  |       |
| 17. Policy in English?                                       |       | 41. Published Refiner compliance report?                                 |       |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         |       |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   |       |
| 21. Collaboration with upstream companies?                   |       |  |       |
| 22. Company-specific circumstances considered in joint work? |       |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 |       | • • • NA   |       |
| 25. Described the identified red flag suppliers?             |       | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 2/17 (12%) M — RMAP: 2/17 (12%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

### UNECHA REFRACTORY METALS PLANT

Scores

Metal: Tungsten RMI SOR ID: CID002724 SOR Headquarter Country: RUSSIAN FEDERATION SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           |       | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?om             | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?om                 | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          |       | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?onc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 1/17 (6%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)

#### VIETNAM YOUNGSUN TUNGSTEN INDUSTRY CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002011 SOR Headquarter Country: VIET NAM SOR URL Membership: RMAP Conformant, iTSCi, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?onc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

O — OECD: 3/17 (18%) M — RMAP: 3/17 (18%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

#### WOLFRAM BERGBAU UND HUTTEN AG

Scores

Metal: Tungsten RMI SOR ID: CID002044 SOR Headquarter Country: AUSTRIA SOR URL Membership: RMAP Conformant, iTSCi, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?                                | • • • | 27. Described steps taken to manage risks?                               | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? on                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?onc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?omc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               |       | • • • ungraded   |       |

O — OECD: 3/17 (18%) M — RMAP: 3/17 (18%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 2/9 (22%)

# WOLTECH KOREA CO., LTD.

Metal: Tungsten RMI SOR ID: CID002843 SOR Headquarter Country: KOREA, REPUBLIC OF SOR URL Membership: RMAP Conformant, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       |       |
| 9. Explained methods for sharing information?                |       |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               |       |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?omc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 5/17 (29%) Scores

M — RMAP: 5/17 (29%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

# XIAMEN TUNGSTEN (H.C.) CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002320 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          |       |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     |       |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      |       |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          |       |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           |       |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              |       |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       |  |       |

O — OECD: 5/17 (29%) M — RMAP: 5/17 (29%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

### XIAMEN TUNGSTEN CO., LTD.

O — OECD: 5/17 (29%)

Scores

Metal: Tungsten RMI SOR ID: CID002082 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, iTSCi, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?omc                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? ом                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?                | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?onc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

M — RMAP: 5/17 (29%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 3/9 (33%)

### XINFENG HUARUI TUNGSTEN & MOLYBDENUM NEW MATERIAL CO., LTD.

Metal: Tungsten RMI SOR ID: CID002830 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?omc                                   | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?ом                         | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?omc                                | • • • | 44. Summary of compliance activities in compliance report?               | • • • |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? | • • • |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |

O — OECD: 1/17 (6%) M — RMAP: 1/17 (6%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%) Scores

#### XINHAI RENDAN SHAOGUAN TUNGSTEN CO., LTD.

Scores

Metal: Tungsten RMI SOR ID: CID002095 SOR Headquarter Country: CHINA SOR URL Membership: RMAP Conformant, CCCMC, TI CMC

| Step 1: Company management systems                           |       | Step 3: Risk management  |       |
|--|-------|--|-------|
| 1. Due diligence (DD) policy?омс                             | • • • | 27. Described steps taken to manage risks?omc                            | • • • |
| 2. Management structure described?                           | • • • | 28. Included summary of risk mitigation?onc                              | • • • |
| 3. Designated responsible manager? om                        | • • • | 29. Described training?омс   | • • • |
| 4. Described transparency and info collection?               | • • • | 30. Involved affected stakeholders?                                      | • • • |
| 5. Control systems over mineral supply chain?om              | • • • | 31. Efforts to monitor risk mitigation performance?omc                   | • • • |
| 6. Control system strengthened DD?                           | • • • | 32. Number of supplier disengagement instances?                          | • • • |
| 7. Record keeping system described?                          | • • • | 33. Operational grievance mechanism?                                     | • • • |
| 8. Explained methods for identifying all suppliers?          | • • • | 34. Grievance mechanism procedure?                                       | • • • |
| 9. Explained methods for sharing information?                | • • • |  |       |
| 10. Disclosure on payments to governments?                   | • • • | Step 4: Audits   |       |
| 11. Conflict-free sourcing policy?                           | • • • | 35. Published audit reports?ом   | • • • |
| 12. Covered tin/tantalum materials?                          | • • • | 36. Refiner details and audit date?                                      | • • • |
| 13. Covered the DRC and adjoining countries?                 | • • • | 37. Audit activities and methodology described?                          | • • • |
| 14. Part of standard operating procedures and training?      | • • • | 38. Audit conclusions in line with 5 DD steps?                           | • • • |
| 15. Effective date?  | • • • | 39. Published LBMA Summary Report annually?                              | • • • |
| 16. Shared with suppliers?                                   | • • • | 40. Published auditor Assurance Report?                                  | • • • |
| 17. Policy in English?                                       | • • • | 41. Published Refiner compliance report?                                 | • • • |
|  |       | 42. Name of refinery in compliance report?                               | • • • |
| Step 2: Risk assessment                                      |       | 43. Compliance time period in compliance report?                         | • • • |
| 18. Published risk report?омс                                | • • • | 44. Summary of compliance activities in compliance report?               |       |
| 19. Outlined methodology of risk assessment?omc              | • • • | 45. Level of compliance with each step of LBMA RGG in compliance report? |       |
| 20. Explained methodology of risk assessment?onc             | • • • | 46. Management conclusion on LBMA RGG compliance in compliance report?   | • • • |
| 21. Collaboration with upstream companies?                   | • • • |  |       |
| 22. Company-specific circumstances considered in joint work? | • • • |  |       |
| 23. Disclosed the actual or potential risks identified?      | • • • | • • • YES  |       |
| 24. Explained how red flags were identified?                 | • • • | • • • NA   |       |
| 25. Described the identified red flag suppliers?             | • • • | • • • NO   |       |
| 26. Steps to map red flag supplier operations?               | • • • | • • • ungraded   |       |
|  |       | ·  |       |

O — OECD: 1/17 (6%) M — RMAP: 1/17 (6%) L — LBMA: NA J — RJC CoC: NA D — DMCC: NA C — CCCMC: 1/9 (11%)