**SUPPLIER DUE-DILIGENCE QUESTIONNAIRE FOR NON-MINING COMPANY**

**Instructions:**

1. Suppliers are strongly encouraged to use this questionnaire to collect information about *the non-mining suppliers (e.g. where your supplier is a trader or a processor of third-party material) that they purchase from*.
2. Send this questionnaire to your potential suppliers prior to entering a business relationship. If you are already in a business relationship with a supplier, send this questionnaire as soon as possible.
3. This questionnaire should be updated by suppliers annually, or earlier if there are changes to their business operations.
4. Ask potential and existing suppliers to complete the following fields as fully and accurately as possible.

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| **0. About this questionnaire** | | | | | | | | | |
| Name of person nominated to complete this questionnaire |  | | | | | | | | |
| Job of person |  | | | | | | | | |
| Completion date of this questionnaire |  | | | | | | | | |
| 1. **Company information** | | | | | | | | | |
| * 1. Company name (or individual) |  | | | | | | | | |
| * 1. Date of incorporation (if individual, date of birth) |  | | | | | | | | |
| * 1. Company Registration Number |  | | | | | | | | |
| * 1. Registered address |  | | | | | | | | |
| * 1. Business address, if different from registered address. Please list all business addresses |  | | | | | | | | |
| * 1. How many facilities do you operate? | Type of facility | | | | | | Number | | |
|  | | | | | |  | | |
| * 1. Identify all business activities | Trading | Processing | | | | | | | |
| Other (Please specify): | | | | | | | | |
| * 1. What are the products that you sell? Please list all products, including those not sold to us |  | | | | | | | | |
| * 1. Please provide the name, address and % ownership/holding of all company’s owners/shareholders.   (If there are more than three owners/shareholders, please use table in Annex A) | Name | | | Address | | | | | % Ownership/ Holding |
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| * 1. Do you have the following policies? | Anti-bribery and corruption  ☐ Anti-money laundering  ☐ Responsible Minerals | | | | Human Rights  Occupational health and safety | | | Communities  Environment | |
| 1. **Taxes, royalties, fees and other payments made to governments** | | | | | | | | | |
| * 1. Please provide details on the amount paid of VAT, tax on transactions, corporate income tax and royalties paid in the last fiscal year.   (Please provide evidence of payment) | VAT: | | | | | | | | |
| Tax on transactions: | | | | | | | | |
| Corporate Income Tax: | | | | | | | | |
| Royalties: | | | | | | | | |
| [Country-specific requirements]: | | | | | | | | |
| 1. **Transportation of materials** | | | | | | | | | |
| * 1. Is your material stored by a third party before delivering it to us? | Yes | | | | | No | | | |
| * 1. Is your material blended by a third party before delivering it to us? | Yes | | | | | No | | | |
| * 1. Do you transport material directly to us using your own trucks? | Yes | | | | | No | | | |
| * 1. Do you transport material directly to us using a third-party provider? | Yes | | | | | No | | | |
| 1. **Supply chain due diligence** | | | | | | | | | |
| * 1. What type of suppliers do you purchase materials from? | Mining companies | | | | Traders or aggregators  Mining cooperatives  Individuals | | | | |
| Other (Please specify): | | | | | | | | |
| * 1. Do you purchase materials originated by ‘artisanal and/or small-scale mining’ or non-mechanised mining? | Yes | | No | | | Unknown | | | |
| * 1. What information do you collect about your suppliers? | Name of the enterprise  Registered address  Enterprise ownership  Origin of materials | | | | | Occupational health and safety policy  Environmental policy  Human Rights policy  Communities policy | | | |
| * 1. Have you visited your supplier(s)’ facilities? | Yes, I regularly visit suppliers’ facilities  Yes, I visited once  No, I have not visited | | | | | | | | |

**Please provide the following documents:**

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| Constitution Document |
| Operating licence |
| Proof of Corporate Income Tax payment |
| Proof of VAT payment |
| Tax Identification Number (NIT) |
| Environmental licence |
| Proof of Tax on Transactions payment |
| [Country-specific requirements] |

**ANNEX A**

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| Enterprise owners/shareholders | Name | Address | % Ownership/Holding |
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