

## LBMA SUPPLY CHAIN ASSESSMENT FORM

Counterparty	
Counterparty's country of incorporation	
Relationship Manager	

### 1. Summary of origin of precious metals and supply chain description

### 2. High risk criteria

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

### 3. Risk level of the business relationship

- High                       Non high

Rationale:

#### 4. Approval

Date and Name

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

#### 5. Review process

Next review date:

Review comments:

Risk level:

High                       Non high

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

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