

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 gold or recycled gold originates from, has transited or has been transported via a conflict-affected or human rights abuse high risk area
- The mined gold is claimed to be originated from a country that has limited known reserves, likely resources or expected production levels of gold
- The recycled gold comes from a country where gold from conflict affected and human rights abuse high risk areas are known, or reasonably suspected, to transit
- Gold supplying counterparty or other known upstream companies are located in a country representing high risk for money laundering, crime or corruption
- Gold supplying counterparty or other known upstream companies or their beneficial owners are politically exposed persons
- Gold 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, diamond merchants, sects and their leaders

3. Risk level of the business relationship

- High Non high

Rationale:

4. Approval

Date and Name

Relationship Manager

Compliance

Senior Management for high risk

5. Review process

Next review date:

Review comments:

Risk level:

High

Non high

Compliance

Senior Management for high risk

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