

## LPPM DUE DILIGENCE CHECKLIST: March 2021

### Mined Material

No	Check when received	KYC Documents
	<input type="checkbox"/>	“LPPM Questionnaire – Mined Material” or any equivalent assessment document <i>Please note that some of the requirements below are already included in the LPPM Questionnaire</i>
	<input type="checkbox"/>	Identify the counterparty - [included in the LPPM Questionnaire, section 1] <ul style="list-style-type: none"> <li>• Name</li> <li>• Address</li> <li>• Country of incorporation</li> </ul>
	<input type="checkbox"/>	Evidence of incorporation using reliable independent source documents, data, or information, such as: <ul style="list-style-type: none"> <li>• Business register extract</li> <li>• Certificate of Incorporation</li> <li>• Certificate of good standing</li> <li>• Article of associations</li> <li>• Extract from reliable private database/from regulatory body database</li> </ul>
	<input type="checkbox"/>	Identify the beneficial owner(s) – [included in the LPPM Questionnaire, section 3]
	<input type="checkbox"/>	Screening (through reliable database such as Worldcheck) on: <ul style="list-style-type: none"> <li>• Counterparty</li> <li>• Beneficial owner(s)</li> <li>• Others (based on risk assessment)</li> </ul>
	<input type="checkbox"/>	Financial details – [included in the LPPM Questionnaire, section 5]
	<input type="checkbox"/>	Documentation supporting the purpose of the business relationship - [included in the LPPM Questionnaire, section 10]
	<input type="checkbox"/>	Documentation supporting business details / Customer profile – [included in the LPPM Questionnaire]
	<input type="checkbox"/>	Identifying Platinum/Palladium origin - [included in the LPPM Questionnaire, section 8]
	<input type="checkbox"/>	Copy of mining license(s) for mining operations located in conflict affected or human right abuse high risk areas - [requested in LPPM Questionnaire, section 8]
	<input type="checkbox"/>	Copy of export license(s) for Platinum/Palladium supplying counterparty located in conflict affected or human right abuse high risk areas - [requested in LPPM Questionnaire, section 9]
	<input type="checkbox"/>	Collecting and assessing mining practice – [included in the LPPM Questionnaire, section 6 & 8 & 9]
	<input type="checkbox"/>	Collecting mining capacity, if available - [included in the LPPM Questionnaire, section 8 & 9]
	<input type="checkbox"/>	Corroborative documentation based on the risk assessment such as for example: <ul style="list-style-type: none"> <li>• Authorized signatories’ IDs</li> <li>• Beneficial owners’ IDs</li> <li>• Internet research</li> <li>• Annual report</li> <li>• Corporate social responsibility report</li> <li>• Group chart</li> <li>• References</li> <li>• Licenses</li> <li>• Certifications</li> <li>• Counterparty’s policies and procedures (Code of conduct, CSR policy, health and safety procedures, bribery policy, etc.)</li> <li>• Google map of given address</li> <li>• Mining site and processing plant pictures</li> <li>• Regulatory environment assessment</li> <li>• Etc.</li> </ul>
	<input type="checkbox"/>	Risk assessment from the Refiner’s perspective  <i>Note that the LPPM Supply Chain Assessment Form can be used</i>

Additional requirements for high-risk supply chain		
	<input type="checkbox"/>	Report visit on on-site visit – [LPPM on site visit form may be used]
	<input type="checkbox"/>	Screening on all companies located in conflict related areas in the chain from the mine to the refinery