Information request

We kindly ask you to fill out the following form and send it back, duly signed and along with the supporting documents as requested on page 4. If you have any question concerning this form, do not hesitate to contact us through your known contact person.

Please note that onboarding as Metallo supplier requires detailed and complete documentation, as requested.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **General Information** |  |  |  |  |  |  |
| Business Name: |  |  |
| Legal Name: |  |   |
| Registered Address: |  |   |
| Trading Address : |  |   |
| VAT / Tax Number: |  |   |
| Telephone number: |  |   |
| Website: |  |   |
| **Contact Details** |  |  |  |  |  |  |
| Preferred contact person: |  |   |
| Telephone number: |  |   |
| Fax: |  |   |
| E-mail: |  |   |
|  | **Corporate Registry Information** |
| Country of Incorporation: |  |  |
| Incorporation date: |  |   |
| Registration number: |  |   |
| Legal Form: |  |   |
| Business Activity:  |  |   |
| **Bank Information** |  |  |  |  |  |  |
| Bank: |  |  |
| Bank Address: |  |   |
| Country: |  |   |
| Account Name: |  |   |
| Account Number: |  |   |
| IBAN Number: |  |   |
| Sort Code:  |  |   |
| BIC/ Swift Code |  |   |
| Currency: |  |   |
|  | **Company Management** |
| **Position** |  | **Name**  |
|   |  |   |
|  |  |  |
|   |  |   |
|  |  |  |

**In view of ULTIMATE BENEFICIAL OWNERSHIP (“UBO”) within the EU legal framework *(EU DIRECTIVE 2015/849, as amended by EU DIRECTIVE 2018/843 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 30 May 2018)*** **aiming to detect, investigate and prevent money laundering and terrorist financing, we request you to disclose your beneficial owners, directly and indirectly and to provide us with necessary supporting documentation on (s.a. shareholder register, organograms, etc.).**

**Responsible Minerals**

We are committed to ensuring that minerals from Conflict-Affected and High-Risk Areas (“CAHRAs”) do not enter into Metallo’s supply chain. We understand that profits from Tin mining in CAHRAs may be encouraging certain unfair labor practices or other human rights violations by direct or indirect financing or benefitting illegal armed groups.

Metallo is listed as a compliant smelter for Tin on the website of RMI (Responsible Minerals Initiative, former CFSI) which can be found here: <http://www.responsiblemineralsinitiative.org/>

Metallo has adopted a Responsible Sourcing Policy and is using due diligence measures based on the current OECD Due Diligence Guidance for Responsible Supply Chains.

We request that our suppliers comply with this policy when extracting, sourcing, transporting, trading, handling or exporting minerals from CAHRAs. When we identify a reasonable risk that a supplier is sourcing from, linked to or is a party committing serious abuses, we will suspend or discontinue our relation with such supplier.

To verify your efforts to be compliant with these requirements, we ask you to complete to following questions (Highlight the answer applicable to your business for each question):

1. **Please declare whether you are purchasing or entering any conflict minerals in your processes?**

YES [ ]  NO [ ]

According to current applicable legislation, conflict minerals are: tin – cassiterite; tungsten – wolframite; tantalum – columbite/tantalite (coltan); Gold

1. **Please declare whether you are selling materials/metals originating from conflict regions to Metallo?**

YES [ ]  NO [ ]

According to the current legislation applicable, the conflict regions are: Democratic Republic of Congo (DRC) and its 9 adjoining countries (Angoal, Burundi, Central African Republic, Republic of the Congo, Rwanda, South Sudan, Tanzania, Uganda, Zambia) and Kenya, Mozambique and South Africa.

1. **Do you have a responsible sourcing policy applicable to conflict minerals?**

YES [ ]  NO [ ]  NOT APPLICABLE\* [ ]

Please send us a copy of this policy.

1. **Do you have due diligence measures in place to assess and respond to risks in your supply chain applicable to conflict minerals?**

YES [ ]  NO [ ]  NOT APPLICABLE\* [ ]

*\* In case you are not dealing with Sn-containing materials, you can answer Not Applicable.*

**Please include the following documents along with this application:**

|  |
| --- |
| **EU-members:** **• The Company Incorporation Certificate/ Extract of Commercial Register****• VAT-certificate****• Bank proof by stamped/signed certificate issued by the bank****• Letterhead of the company****• ISO Certificate if available• Documentation disclosing UBO**  |

|  |
| --- |
| **Non EU-members:****• Company Incorporation Certificate/ Articles of Organization/ Extract of commercial register****• Bank proof by stamped/signed certificate issued by the bank** **• Letterhead of the company****• AEO Certificate if available****• ISO Certificate if available****• D****ocumentation disclosing UBO** |

Based upon the filed information and shared documentation, additional questions or documentation might be asked in order to complete our own risk assessment.

Please provide us with the **name and contact details** of the person in charge of these matters for your company:

|  |  |
| --- | --- |
| Name: |  |
| Title :   |   |
| Email: |   |
| Tel.: |   |

In order to make sure that all relevant documents are sent to the correct person within your organization, we would like to ask you provide us with the correct contact person and e-mail address for each document type.

|  |  |
| --- | --- |
| **Documents** | **Contact person**  |
| Quality Report | Name:E-mail: |
| Loading Appointment | Name:E-mail: |
| Weight ticket | Name:E-mail: |
| Order confirmation | NameE-mail: |
| Lot account | Name:E-mail |
| Payment letter | Name:E-mail |
| Fixation document | Name:E-mail |

**Confirmation of Validity**

The undersigned declares to have filled out this form to the best of his/her knowledge and confirm for its validity. Should any relevant changes to the shared information occur, the undersigned confirms to send immediate update of such information along with all supporting documents requested.

|  |  |
| --- | --- |
| Name: |  |
| Title:   |   |
| Date: |   |
| Authorised Signature: |   |

Please also paragraph all submitted pages.