

SITE VISIT FORM – RECYCLED MATERIAL

Visited by: (Name of Representative): _____

Date of the visit: _____

This site-visit report supports the LBMA Questionnaire.

Customer	
Name:	
Registered address:	
Visited site address (if different from the registered one)	
Who did you meet during your visit (name & title)?	
Was there a change in the customer's ownership since the last visit or KYC update? (if applicable)	
Has the Company been fined or prosecuted for a material breach of the local regulations during the last two years?	

Business activity	
Description of the customer's business activity:	
Type of operations taking place on the visited location	
What are the customer's main products and services?	
Others:	

Supply Chain	
Please describe the type of material the company receives	<input type="checkbox"/> Recycled precious metals (%_____): <input type="checkbox"/> LBMA GD Bullion <input type="checkbox"/> Non LBMA Good Delivery Bullion (Au =>995 / AG =>9999) <input type="checkbox"/> Rudimentary Bars <input type="checkbox"/> Jewellery <input type="checkbox"/> Broken jewellery <input type="checkbox"/> Coins <input type="checkbox"/> Collected waste <input type="checkbox"/> Industrial By-product <input type="checkbox"/> Others, please specify:



	<input type="checkbox"/> Primary material – mined precious metals (%__) <input type="checkbox"/> LSM <input type="checkbox"/> ASM <input type="checkbox"/> Mining By-Product
Among the material received, please indicate which type of material will be sent to us for refining (incl. volume or percentage of the overall feed of the company)	
Please list the countries where the customer sources the precious metals (per type of material)	
Please describe the profile of their precious metal suppliers	
How many suppliers do they work with/purchase from (provide a range)?	
Please describe the type of products the company sells	
What was the customer's supply/production during the past 12 months & what is the average transaction (volume and number per week or month)?	

AML and Responsible Sourcing due diligence procedure on its precious metals suppliers (if applicable)	
Does the customer perform due diligence over its precious metals suppliers and customers	<input type="checkbox"/> yes <input type="checkbox"/> no
What type of due diligence is performed on its precious metals suppliers (please describe the due diligence documents that are requested by the customer)	
How do they determine high risk relationships?	
Does the Company perform on site visit of its high risk precious metals suppliers?	<input type="checkbox"/> yes <input type="checkbox"/> no If yes, please describe methodology when on-site visit is conducted If no, please explain why on-site visits of high risk are not performed

Do they monitor the transactions with their precious metals suppliers?	<input type="checkbox"/> yes <input type="checkbox"/> no If yes, please describe
Do they accept cash transactions?	<input type="checkbox"/> yes <input type="checkbox"/> no If yes, indicate if they have a threshold for cash transactions
Do they have to report any suspicious transaction or any cash transaction to the authority?	<input type="checkbox"/> yes <input type="checkbox"/> no If yes, please describe and indicate how many reports have been transmitted to the authority over the past 24 months
How does the company raise awareness of its employees on AML / Responsible Sourcing?	
Other comments:	

Workers	
How do you assess the quality of the offices and/or working installations?	<input type="checkbox"/> unacceptable <input type="checkbox"/> basic <input type="checkbox"/> comfortable Please describe:
How many people work in the company? In the entire group?	
Have you identified any sign of use of force, labour pressure, threats, bad treatment, etc. of employees	<input type="checkbox"/> yes <input type="checkbox"/> no
Have you seen any children during on site visit?	<input type="checkbox"/> yes <input type="checkbox"/> no If yes, please indicate their tasks:
What is the average weekly/monthly working hours (shifts)?	
Other comments:	

Security	
How do you assess the security infrastructure?	<input type="checkbox"/> Adequate <input type="checkbox"/> Inadequate Please describe:

Only for Refining and or Manufacturing installations (if applicable)	
Please describe the operational site and equipment:	
Do they have melting facilities?	<input type="checkbox"/> yes <input type="checkbox"/> no If yes, please describe the process
Do they have refining facilities?	<input type="checkbox"/> yes <input type="checkbox"/> no If yes, please describe the process (incl. chemicals used, if any)
In case they have a refining facility, what is their monthly production/capacity?	
Other comments:	

Relationship Manager assessment	
Where appropriate, have you engaged with the counterparty to improve its responsible practices?	<input type="checkbox"/> yes <input type="checkbox"/> no Comments:
Did the employees you talked with understand AML and responsible sourcing risks?	
Other comments:	
Overall assessment with positive and improvement points	

Date: _____

Signature: _____