

KYS (Know Your Supplier)

認識你的供應商

1. 公司詳情/Company Info			
1.1 名稱：Full Company Name：			
1.2 註冊地址：Registration Address:			
1.3 營業地址：Office address (if different from Registration Address)			
1.4 註冊日期：Registration date			
1.5 註冊國家：Registration country			
1.6 稅務識別/登記號：Company Registration Number/Business Identification Number：			
1.7 公司類型 Company type		<input checked="" type="checkbox"/> 採礦公司 Mining Company <input type="checkbox"/> 粗處理廠 Treatment Unit <input type="checkbox"/> 精煉廠 Refinery <input type="checkbox"/> 運輸商 Logistic company <input type="checkbox"/> 貿易商 Trading company	
1.8 核心業務活動的描述 Description of core business activities			
1.7 員工人數 Number of employees			
2 所有權 Ownership			
2.1 股東（如果是上市公司，占股超過 5%股東需要列出） Shareholders (if your company is listed on stock market, shareholders with a shareholding ratio of more than 5% need to be provided.)			
持股 比例 Shareholdin g ratio	名稱 姓名 Name	地址 Address	註冊國家 國籍 Registered State/Nationality
2.2 實際控制人（如果是上市公司，實控占股超過 5%需要列出） Actual controller (if your company is listed on stock market, shareholders with a shareholding ratio of more than 5% need to be provided.)			
持股 比例 Shareholdin g ratio	名稱 姓名 Name	地址 Address	註冊國家 國籍 Registered State/Nationality
2.3 高管團隊 Management Structure			
	姓名 Name	職位 Position	國籍 Nationality
2.3.1		董事長 Chairman	
2.3.2		總經理 GM	

2.3.3		副總 DGM/EVP	
2.3.4		財務負責人 CFO	
2.3.5		(其他高管，請自填) Other executives	
3 付款方式 Payment Method			
公司通常使用什麼支付方式來對其供應商進行付款？（可多選） Payment Method (multiple-choice) :		<input type="checkbox"/> ____ %銀行轉帳或支票； <input type="checkbox"/> ____ % TT <input type="checkbox"/> ____ %現金； <input type="checkbox"/> ____ % Cash <input type="checkbox"/> ____ %信用證； <input type="checkbox"/> ____ % LC <input type="checkbox"/> ____ %付款交單； <input type="checkbox"/> ____ %D/P	
4. 盡責/EHS 體系情況			
4.1 您公司是否接受了獨立協力廠商審核機構的礦產供應鏈盡責管理審核？ Has your company been audited by any third party for Mineral Supply Chain Due Diligence? 如果是，請填寫審核機構和實施日期 If yes, please provide the audit organization name and audit date:		<input type="checkbox"/> 是 YES 審核機構 Audit Organization : 審核日期 Last Audit Date : CID 號 CID : 審核結論 Audit Conclusion : <input type="checkbox"/> 否 NO	
4.2 您公司是否接受過客戶委託的協力廠商審核機構進行的礦產供應鏈盡責管理審核？ Has your company been audited by any third party which commissioned by the customer for Mineral Supply Chain Due Diligence? 如果是，請填寫審核機構和實施日期，如有多次審核，請分別列出。 If yes, please provide the audit organization name and audit date, If there are multiple audits , please list them separately.		<input type="checkbox"/> 是 YES 審核機構 Audit Organization : 審核日期 Last Audit Date : 客戶名稱 Customer : <input type="checkbox"/> 否 NO	
4.3 您公司是否實施並與供應商溝通或發佈礦產盡責管理政策/供應商行為準則？ Has your company implemented any policies related to the listed issues? Does your company implement and communicate with suppliers or issue Due Diligence Policy for a Responsible Supply Chain of Mineral Management Policy/Suppliers' code of Conduct?		<input type="checkbox"/> 是 YES 範圍 Scope : <input type="checkbox"/> 童工 Child labor <input type="checkbox"/> 侵犯人權 Human rights violations <input type="checkbox"/> 直接或間接支持非國家武裝團體或公共或私人安全武裝 Direct or indirect support for non-State armed groups or public or private security forces <input type="checkbox"/> 賄賂和對礦物的原產地的詐欺性表述 Bribery and fraudulent expression of the origin of mineral <input type="checkbox"/> 洗錢 Money laundering <input type="checkbox"/> 未向政府支付稅費、費用和許可費 Defraud taxes, fees and licensing fees to the Government <input type="checkbox"/> 威脅生命的職業健康和狀況 Life-threatening conditions of health and safety 方式 Method (可多選 multiple-choice) : <input type="checkbox"/> 合同 Contract <input type="checkbox"/> 協議 Protocol <input type="checkbox"/> 網址 Website _____	<input type="checkbox"/> 否 NO
4.4 您公司是否建立合適的申訴管理機制？ Has your company conduct a grievance management mechanism?		<input type="checkbox"/> 是 YES 網址 Media (website): : _____ <input type="checkbox"/> 否 NO	

<p>4.5 您公司是否定期發佈與負責任採購實踐/企業社會責任相關的資訊？ 例如：企業社會責任報告。 Does your company publish information related to the responsible procurement practices/corporate social responsibility periodically? For example: CSR report</p>	<p><input type="checkbox"/>是 Yes, 媒介（網址）Media (website): _____ 頻率 Frequency: _____</p> <p><input type="checkbox"/>否 NO</p>	
<p>4.6 您公司是否參與了與礦產的負責任採購有關的行業計畫？ Does your company participate the industry plan related to the responsible purchase of mineral?</p>	<p><input type="checkbox"/>是，有哪些： Yes, please specify：</p> <p><input type="checkbox"/>否 NO</p>	
<p>4.8 您公司是否通過了 ISO14001 認證或其他認證？ Has your company passed ISO14001 certification or other certification? 如果是，請提供證書副本。 If yes, please provide a copy of the certificate.</p>	<p><input type="checkbox"/>是 YES <input type="checkbox"/>否 NO</p>	
<p>4.9 您是否對您的上游供應商進行盡責調查？ Has your company did due diligence on your upstream suppliers?</p>	<p><input type="checkbox"/>是 YES, 調查比例為 _____% , Ratio _____%</p> <p><input type="checkbox"/>否 NO</p>	
<p>5 原料類型 Raw material types</p>		
<p>5.1 公司使用何種原料（可多選） Raw material types (multiple-choice)</p>	<p><input type="checkbox"/>開採礦料 Mining material <input type="checkbox"/>回收料 Recycled material</p>	
<p>*5.1 選擇“開採料”時填寫 If 5.1 filled Mining material</p>	<p>5.2 您公司或者供應商是否從手工和小規模開採礦區（ASM）進行礦物採購？ Does your company or supplier source mineral from artisanal and small-scale mines (ASM)?</p>	<p><input type="checkbox"/>是 YES <input type="checkbox"/>否 NO</p>
	<p>5.3 如果否，您是否能確認您公司或者供應商僅從 LSM 進行礦物採購？ If not, does your company or supplier only source mineral from LSM?</p>	<p><input type="checkbox"/>是 YES <input type="checkbox"/>否 NO</p>
<p>6 回收料</p>		
<p>*5.1 選擇“回收料”時填寫 If 5.1 filled Recycled material</p>	<p>6.1 您公司採購的原材料類型有哪些（可多選）？ What types of raw material do you have (multiple-choice)</p>	<p><input type="checkbox"/>三元廢料 The precursor waste <input type="checkbox"/>正極廢料 The cathode waste <input type="checkbox"/>電池廢料 The battery waste <input type="checkbox"/>消費後電池回收料 Recovery material of used battery <input type="checkbox"/>合金 Alloy <input type="checkbox"/>其他 Others _____</p>
	<p>6.2 您的直接供應商有哪些類型（可多選）？ What types of direct suppliers do you have?(multiple-choice)</p>	<p><input type="checkbox"/>貿易商 Trading company <input type="checkbox"/>生產商 Manufactures</p>
	<p>6.3 您是否對您的直接供應商做礦產盡責調查？ Has your company did due diligence on your direct suppliers?</p>	<p><input type="checkbox"/>是 YES <input type="checkbox"/>否 NO</p>

	<p>6.4 您是否知道您採購的回收料的原料的實際生產廠商？</p> <p>Does your company know the actual manufacturer of the raw materials for the recycled materials you purchase?</p>	<p><input type="checkbox"/>是 YES，比例為： _____ %， The ratio is _____ %</p> <p><input type="checkbox"/>否 NO</p>
7.負責任採礦實踐 Responsible Procurement		
<p>*5.1 選擇“開採料”時填寫 If 5.1 filled Mining material</p>	<p>7.1 您確定您公司或者供應商進行採購的礦區持有採礦許可證嗎？</p> <p>Does the mining area where your company source mineral holds a mining license?</p> <p>如果是，請提供採礦許可證副本或者填寫礦區編號。</p> <p>If yes, please provide a copy of the mining license or fill in the certificated mine number.</p>	<p><input type="checkbox"/>是 YES 礦區編號： certificated mine number:</p> <p><input type="checkbox"/>否 NO</p>
	<p>7.2 您確定您公司或者供應商採購原料的原產地嗎？</p> <p>Do you know the country of origin of raw materials purchased by your company or supplier?</p> <p>如果是，請提供原產地證。</p> <p>If yes, please provide the certificate of origin.</p>	<p><input type="checkbox"/>是 YES <input type="checkbox"/>否 NO</p>
	<p>7.3 您公司在公司運營所在國/省的採礦或其他生產活動中是否防範僱傭童工或對童工進行了監管？（例如定期檢查身份證（ID））</p> <p>Does the country/ state that your company currently operates in have regulations on child labor?(For example, periodic ID checks)</p> <p>如果是，請提供證據資料。If Yes, please provide detail information.</p>	<p><input type="checkbox"/>是 YES，監管方式 Method：</p> <p><input type="checkbox"/>否 NO</p>
	<p>7.4 在您公司的礦區 / 您公司採購的礦區上或周圍是否動用了公共安全武裝？</p> <p>Are there any armed forces used in or around your facility or your supplier's facility?</p>	<p><input type="checkbox"/>是 YES,用途 Purpose：</p> <p><input type="checkbox"/>否 NO</p> <p><input type="checkbox"/>不清楚 Unclear</p> <p><input type="checkbox"/>不適用 N/A</p>
	<p>7.5 您公司或者供應商採購的礦區是否有全面的程式、制度和政策來保障人員的安全？</p> <p>Does the mining company where your source mineral has comprehensive procedures, systems and policies to ensure the employee safety?</p> <p>（例如適當防護設備的使用、健康與安全培訓、急救物資和應急程式）</p> <p>(e.g. the use of appropriate protective equipment, health and safety training, first aid supplies and emergency procedures)</p>	<p><input type="checkbox"/>是，請進行說明： YES, please certify:</p> <p><input type="checkbox"/>否 NO</p> <p><input type="checkbox"/>不清楚 Unclear</p>

<p>7.6 礦區是否有程式、制度和政策來避免因礦物提取對環境造成負面影響？</p> <p>Are there any procedures, systems and policies in the mining area where you source mineral from to avoid the negative impacts of mineral extraction on the environment?</p> <p>(例如適當的尾礦處理、避免污染排放的系統等) (e.g. proper tailings treatment, systems to avoid pollution emissions, etc.)</p>	<p><input type="checkbox"/>是，請進行說明： YES, please certify:</p> <p><input type="checkbox"/>否 NO</p> <p><input type="checkbox"/>不清楚 Unclear</p>
<p>7.7 礦區是否參與了受影響社區的活動並支持當地社區的發展？</p> <p>Is the mining company involved in the activities of affected communities and supports the development of local communities?</p>	<p><input type="checkbox"/>是，請進行說明： YES, please certify:</p> <p><input type="checkbox"/>否 NO</p> <p><input type="checkbox"/>不清楚 Unclear</p>
<p>7.8 您是否知道在礦區/在礦區附近是否存在任何武裝團體實施軍事行動？</p> <p>Do you know if there are any armed groups in or near the mining area?</p> <p>如果有，請提供與他們開展的活動有關的資訊。</p> <p>If YES, please provide information about their activities.</p>	<p><input type="checkbox"/>是 YES</p> <p><input type="checkbox"/>國家武裝團體 National Armed Groups</p> <p><input type="checkbox"/>非國家武裝團體 Non-National Armed Groups</p> <p><input type="checkbox"/>公共或私人安全武裝，請說明：Public or private security forces, please specify:</p> <p><input type="checkbox"/>否 NO</p> <p><input type="checkbox"/>不清楚 Unclear</p>
<p>7.9 您公司或者供應商是否已經在礦區開展了實地走訪？</p> <p>Have you carried out a field visit to the mining area?</p> <p>如果是，請提供證據/審核報告副本</p> <p>If YES, please provide copies of evidence/audit reports where available.</p>	<p><input type="checkbox"/>是 YES,</p> <p>走訪日期 Visit Date :</p> <p>走訪頻率 Visit Frequency :</p> <p><input type="checkbox"/>否 NO</p>
<p>7.10 若您尚未對礦區開展實地走訪，您是否有計劃進行實地走訪？</p> <p>If you have not conducted a field visit to the mining area, do you plan to do so?</p>	<p><input type="checkbox"/>是，計畫走訪的日期： Yes, Planned visit date:</p> <p><input type="checkbox"/>否 NO</p>
<p>7.11 您是否知道您的上游粗煉廠/礦山接受了獨立的第三方審核？</p> <p>Do you know that your upstream Treatment Unit/mine has received an independent third party audit?</p>	<p><input type="checkbox"/>是 YES</p> <p>審核機構 Audit Organization Name :</p> <p>審核日期 Last Audit Date :</p> <p><input type="checkbox"/>否 NO</p> <p><input type="checkbox"/>不清楚 Unclear</p>

	<p>7.12 您是否知道在採購過程中（礦區、洗礦區、運輸、儲存等等）所發生的與任何下列問題相關的事故？ 如果是，請提供證據副本（照片、視頻或音訊記錄等等）</p> <p>Is there any accidents related to any of the following issues during the procurement process (mining, washing, transportation, storage, etc.)? If yes, please provide copies of evidence (photos, video or audio recordings, etc.) where available.</p>	<p><input type="checkbox"/>是 YES</p> <p><input type="checkbox"/>童工 Child labor</p> <p><input type="checkbox"/>侵犯人權 Human rights violations</p> <p><input type="checkbox"/>直接或間接支持非國家武裝團體或公共或私人安全武裝 Direct or indirect support for non-State armed groups or public or private security forces</p> <p><input type="checkbox"/>賄賂和對礦物的原產地的詐欺性表述 Bribery and fraudulent expression of the origin of mineral</p> <p><input type="checkbox"/>洗錢 Money laundering</p> <p><input type="checkbox"/>未向政府支付稅費、費用和許可費 Failure to pay taxes, fees and licensing fees to the Government</p> <p><input type="checkbox"/>威脅生命的職業健康和狀況 Life-threatening occupational health and safety</p> <p><input type="checkbox"/>未發生 Not occurred</p> <p><input type="checkbox"/>不清楚 Unclear</p>
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8 運輸 Transport

<p>*5.1 選擇“開採料”時填寫 If 5.1 filled Mining material</p>	<p>8.1 礦產如何從礦區運輸到粗煉廠？請填寫陸運段。 How does the mineral ores transported from mine to treatment unit? Please fill in the land transportation information.</p>	<p><input type="checkbox"/>通過自己公司 By own company</p> <p><input type="checkbox"/>通過協力廠商運輸公司，公司名稱：By third party logistic firms Third party logistic firm Name :</p> <p>運輸方式 Mode of transport: <input type="checkbox"/>卡車 truck <input type="checkbox"/>直升飛機 helicopter <input type="checkbox"/>裝甲車輛 armored vehicles <input type="checkbox"/>貨櫃車 container truck <input type="checkbox"/>其他，請說明 other, please specify:</p> <p>運輸路線 Transport route :</p>
	<p>8.2 礦物或者中間品如何從粗煉廠運輸到出口港/精煉廠？請填寫陸運段。 How does the mineral or intermediates transported from treatment unit to export port/refinery? Please fill in the land transportation information.</p>	<p><input type="checkbox"/>通過自己公司 By own company</p> <p><input type="checkbox"/>通過協力廠商運輸公司，公司名稱：By third party logistic firms Third party logistic firm Name :</p> <p>運輸方式 Mode of transport: <input type="checkbox"/>卡車 truck <input type="checkbox"/>直升飛機 helicopter <input type="checkbox"/>裝甲車輛 armored vehicles <input type="checkbox"/>貨櫃車 container truck <input type="checkbox"/>其他，請說明 other, please specify:</p> <p>運輸路線 Transport route :</p>
	<p>8.3 礦物或者中間品如何從出口港運輸到進口港？請填寫海運段。 How does the mineral or intermediates transported from the port of export to the port of import? Please fill in the marine information.</p>	<p>出口港 Port of export : 進口港 Port of import : <input type="checkbox"/>不適用，請說明理由 N/A, please specify :</p>

		<input type="checkbox"/> 通過自己公司 By own company <input type="checkbox"/> 通過協力廠商運輸公司，公司名稱：By third party logistic firms Third party logistic firm Name :
	8.4 礦物或者中間品如何從進口港運輸到貴司？ How does the mineral or intermediates transported to your company from the port of import?	運輸方式 Mode of transport: <input type="checkbox"/> 卡車 truck <input type="checkbox"/> 直升飛機 helicopter <input type="checkbox"/> 裝甲車輛 armored vehicles <input type="checkbox"/> 貨櫃車 container truck <input type="checkbox"/> 其他，請說明 other, please specify:
		運輸路線 Transport route :
	8.5 您是否收集運輸段相關單據？ （如 提單、進出口記錄、運輸單據等） Has your company collect transport documents?(e.g. Bill of lading, import and export records, packing lists, etc.)	<input type="checkbox"/> 是 YES，（可多選）（multiple-choice） <input type="checkbox"/> 海運段 marine transportation <input type="checkbox"/> 國內陸運段 Domestic land transportation <input type="checkbox"/> 國外陸運段 Foreign land transportation <input type="checkbox"/> 否 NO

填寫人： Written by	
職位 Title:	
公司名稱 Company Name:	
日期 Date:	