



CROSS-BORDER TRADE FACILITATION

# Mineral Due Diligence Awareness Checklist

A buyer-side risk awareness checklist for mineral discussions, payments, and transaction commitments. It helps buyers and counterparties understand responsible sourcing, chain-of-custody, licensing, assay, sanctions, and independent review expectations before sending money, sharing sensitive documents, arranging shipment, accepting a supplier introduction, or making any transaction commitment.

| DOCUMENT                                  | VERSION                       |
|-------------------------------------------|-------------------------------|
| Mineral Due Diligence Awareness Checklist | 2.0                           |
| ISSUED                                    | OWNER                         |
| July 2026                                 | Rumali Supreme Editorial Team |
| CLASSIFICATION                            | SUBMISSION                    |
| Public · Buyer- and partner-facing        | info@rumalisupremegroup.com   |

"We Build Relationships, Not Barriers."

## What's in this form

Nine sections plus risk notes, disclaimer, and submission reminder. The cover and contents are not part of the checklist itself — sections 1–9 cover transaction role, key terms, responsible sourcing, the eight buyer-side controls before any formal transaction step, red flags, sensitive document protection, buyer responsibility notes, mineral-specific considerations, and service scope. Read this checklist before any mineral-related payment, shipment, signing, or capital decision.

### i How to use this form

Complete the sections that apply to your inquiry. The form is for preliminary awareness and risk preparation only — it does not replace independent legal, financial, regulatory, customs, sanctions, assay, or commercial review. If a counterparty, transaction, or document triggers any red flag in section 5, pause and verify before sending money, signing, or sharing sensitive materials.

| 1                                                     | Transaction Role & Mineral Basics                                                                                                                                                                                                                                                                                                                                                                                                                           |
|-------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Mineral type and form                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Claimed country or region of origin                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Country of export, if different from origin           |                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Counterparty role                                     | <input type="checkbox"/> Owner <input type="checkbox"/> Exporter <input type="checkbox"/> Mandate holder <input type="checkbox"/> Broker<br><input type="checkbox"/> Refinery <input type="checkbox"/> Mine operator <input type="checkbox"/> Logistics party <input type="checkbox"/> Other                                                                                                                                                                |
| Claimed legal owner of the mineral                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Export license holder or authorized exporter          |                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| Beneficial owner known?                               | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Pending confirmation                                                                                                                                                                                                                                                                                                                                                      |
| Current transaction stage                             | <input type="checkbox"/> Initial inquiry <input type="checkbox"/> KYC pending <input type="checkbox"/> Ownership proof pending<br><input type="checkbox"/> Sanctions screening pending <input type="checkbox"/> Documents under review <input type="checkbox"/> Sample / assay pending<br><input type="checkbox"/> Inspection pending <input type="checkbox"/> Payment discussion <input type="checkbox"/> Shipment planning <input type="checkbox"/> Other |
| Verified communication channels agreed by all parties | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Pending confirmation                                                                                                                                                                                                                                                                                                                                                      |
| Verification method used                              | <input type="checkbox"/> Official website <input type="checkbox"/> Company email <input type="checkbox"/> Registered phone number<br><input type="checkbox"/> Legal representative <input type="checkbox"/> Government registry <input type="checkbox"/> Other                                                                                                                                                                                              |

### ! Important note on counterparty roles

- Mandate holders, brokers, agents, and intermediaries must provide verifiable written authority from the legal owner, authorized exporter, refinery, mine operator, or other legally responsible party.
- A person claiming to represent a seller should not be treated as authorized until their role and authority have been verified through official and independently reliable channels.

## 2

## Key Term Definitions

Use this reference list to keep terminology consistent across teams, counterparties, and review notes.

|                            |                                                                                                                                  |
|----------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| <b>Chain-of-custody</b>    | The paper trail showing where the mineral came from, who handled it, and how it moved from origin to buyer.                      |
| <b>Assay</b>               | A test used to confirm the mineral type, purity, grade, or value.                                                                |
| <b>Sanctions screening</b> | Checking whether a person, company, bank, country, vessel, or related party is legally restricted.                               |
| <b>Restricted party</b>    | A person or company that may be blocked, sanctioned, or legally risky to trade with.                                             |
| <b>Capital decision</b>    | Any decision to send money, pay a fee, reserve funds, sign a transaction commitment, or proceed with a serious transaction step. |
| <b>Mandate holder</b>      | A person claiming they have authority to represent the owner or seller. This authority must be proven in writing.                |
| <b>Beneficial owner</b>    | The real person or people who ultimately own or control the company, asset, or transaction benefit.                              |

## 3

## Responsible Sourcing Awareness

Before proceeding with any mineral-related transaction discussion, buyers should consider the following. Each item is a minimum safeguard — missing one is a signal to slow down, not a green light to continue.

- Origin information should be reviewed through official or independently verifiable channels.
- Chain-of-custody records should be requested where applicable.
- If chain-of-custody records are unavailable, incomplete, or unverifiable, the transaction should be treated as high-risk.
- Export permits, licenses, or official authorization may be required depending on the mineral, origin, export country, and destination country.
- Sanctions, restricted-party, anti-money-laundering, and high-risk-area review may apply.
- Counterparties, beneficial owners, companies, banks, logistics parties, and relevant countries may require screening before any transaction decision.
- Independent assay should be completed before any capital decision.
- Assay should be performed by an agreed independent laboratory, refinery, or recognized assay office, with sample handling and custody controls agreed in writing.
- Independent legal, financial, regulatory, customs, sanctions, assay, and commercial review may be required before proceeding.

## 4

## Before Formal Transaction Steps

Buyers should not proceed to payment, shipment, travel, signing, or transaction commitment until the eight controls below have been completed. Each row pairs a step with the buyer-side control it requires.

|          |                                                                                                                                                              |
|----------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>1</b> | <b>Verify communication channels.</b> — Confirm all parties through official company channels before sharing documents or discussing payment.                |
| <b>2</b> | <b>Confirm counterparty role.</b> — Identify whether the person is the owner, exporter, broker, mandate holder, refinery, mine operator, or logistics party. |
| <b>3</b> | <b>Verify authority.</b> — Request proof that the person or company has legal authority to offer, sell, export, or represent the mineral.                    |
| <b>4</b> | <b>Review ownership and origin.</b> — Check claimed origin, ownership path, chain-of-custody, and supporting documents.                                      |
| <b>5</b> | <b>Screen sanctions and restricted parties.</b> — Review companies, individuals, banks, beneficial owners, logistics parties, and countries involved.        |
| <b>6</b> | <b>Agree assay process.</b> — Use an independent and verifiable assay process before any serious payment decision.                                           |
| <b>7</b> | <b>Review export and customs pathway.</b> — Confirm permits, licenses, taxes, customs documents, and destination-country requirements.                       |
| <b>8</b> | <b>Agree written engagement.</b> — Confirm roles, fees, commission, confidentiality, payment terms, and responsibilities in writing.                         |

***Decide whether to proceed — only after independent legal, compliance, financial, assay, and commercial review.***

|          |                            |
|----------|----------------------------|
| <b>5</b> | <b>Red Flag Indicators</b> |
|----------|----------------------------|

Be cautious if any of the following warning signs appear. One red flag alone is not proof of fraud, but several together should always trigger a pause and independent verification.

**! Red flags to watch for**

- Guaranteed allocation, guaranteed profit, or risk-free transaction claims.
- Pressure to pay taxes, logistics fees, assay fees, facilitation fees, or other charges before verification.
- Refusal to allow independent assay, document review, or channel verification.
- Refusal to confirm legal ownership, export authority, or counterparty role.
- Unclear origin, ownership, or chain-of-custody claims.
- Inconsistent company names, signatures, stamps, addresses, licenses, or document formats.
- Requests to communicate only through unofficial channels.
- Payment request to a personal account or unrelated third party.
- Sudden change of bank account, beneficiary name, payment country, or payment instruction.
- Refusal to use formal written engagement before transaction steps continue.
- Fake or unverifiable refinery letters, assay reports, export permits, ownership letters, or mandate documents.
- Pressure to travel, pay, or release documents before independent review.

**6****Sensitive Document Protection**

Do not submit the items below through public forms, social media, messaging-only contacts, or unverified communication channels. If sensitive review is required, wait for controlled and verified submission instructions through official Rumali Supreme Company Ltd channels.

**! Do not submit through public forms or unverified channels**

- Personal bank details or wallet addresses.
- Passport uploads or national ID uploads.
- Assay reports, mining licenses, export permits, or mineral transaction documents.
- Confidential contracts or commercial agreements.
- Passwords or authentication credentials.
- Bank screenshots, payment proof, or private financial records.

**7****Buyer Responsibility & Decision Notes**

Use this section to record buyer-side concerns, unresolved questions, and next steps before any transaction decision.

|                         |  |
|-------------------------|--|
| Key concerns identified |  |
| Documents requested     |  |
| Documents received      |  |
| Documents still pending |  |
| Unresolved issues       |  |

|                                    |                                                                                                                                                                                                                                            |
|------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Independent review required</b> | <input type="checkbox"/> Legal <input type="checkbox"/> Financial <input type="checkbox"/> Sanctions <input type="checkbox"/> Customs<br><input type="checkbox"/> Assay <input type="checkbox"/> Commercial <input type="checkbox"/> Other |
| <b>Buyer decision status</b>       | <input type="checkbox"/> Do not proceed <input type="checkbox"/> Proceed only after review <input type="checkbox"/> More information required<br><input type="checkbox"/> Ready for formal engagement                                      |
| <b>Recommended next action</b>     |                                                                                                                                                                                                                                            |

## 8

## Mineral-Specific Notes

Use the table below to record additional due diligence considerations for the specific mineral in scope. Each row pairs a mineral type with the most common items to verify.

|                       |                                                                                                                                                                                |
|-----------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Gold</b>           | Buyers should review origin, ownership, beneficial ownership, assay, export authorization, anti-money-laundering risk, sanctions risk, and responsible sourcing documentation. |
| <b>Copper</b>         | Buyers should review grade, form, origin, export authorization, seller authority, inspection process, logistics pathway, and payment terms.                                    |
| <b>Diamonds</b>       | For rough diamonds, Kimberley Process documentation may be required and should be independently verified before any transaction decision.                                      |
| <b>Other minerals</b> | Buyers should confirm applicable licensing, export rules, sanctions exposure, testing requirements, and destination-country import requirements.                               |

## 9

## Service Role &amp; Commercial Engagement

Rumali Supreme Company Ltd may support the following activities only under separate written engagement. Where Rumali Supreme introduces, coordinates, or verifies counterparties, any service fees, commission, confidentiality terms, or commercial responsibilities should be agreed in writing before direct transaction steps continue.

- Sourcing coordination.
- Communication review.
- Document follow-up.
- Buyer-side due diligence coordination.
- Supplier or counterparty communication.
- Related trade support under separate written engagement.

## Risk & Compliance Notes

### ! Risk & Compliance Notes

- Due diligence is a process, not a single document check.
- Completion of this checklist does not mean a transaction is approved, verified, safe, legal, or ready for payment.
- Rumali Supreme Company Ltd does not guarantee mineral supply, ownership, assay value, export approval, profit, delivery, or transaction outcome.
- Buyers and counterparties should complete independent legal, financial, regulatory, customs, sanctions, assay, and commercial review before making transaction decisions.
- High-value mineral transactions may require specialist legal, compliance, customs, financial, security, and technical review beyond this checklist.

## Disclaimer

### DISCLAIMER

This checklist is for preliminary awareness and buyer-side risk preparation only. It is not legal, regulatory, financial, sanctions, customs, assay, tax, insurance, security, or investment advice.

Rumali Supreme Company Ltd may provide sourcing coordination and due diligence support only under separate written engagement. Any support provided does not guarantee mineral ownership, authenticity, assay value, export approval, regulatory compliance, supplier performance, payment safety, shipment success, profit, or transaction outcome.

Buyers should not authorize capital, payment, shipment, travel, document release, or any transaction commitment until physical material, documents, ownership, licensing, sanctions status, communication channels, and payment instructions have been reviewed through an agreed and independently verifiable process.

### → Submission Reminder

Use the official Rumali Supreme Company Ltd Contact page, official company email, or WhatsApp number listed on the website contact section. Always verify official channels before sending documents, funds, transaction instructions, or sensitive information.

### Rumali Supreme Company Ltd

*We Build Relationships, Not Barriers.*

[www.rumalisupremegroup.com](http://www.rumalisupremegroup.com) · Verify official channels before sending documents or funds.