

LBMA Responsible Gold Guidance - Summary Assessment Report: Corrective Action Plan

For third-party audits based on ISO19011:2011.

Prepared for: London Bullion Market Association (LBMA)
Date: 7-10 March 2017
Draft Version 1

ASSESSMENT INFORMATION	
Refiner Name:	Shandong Zhaojin Gold&Silver Refinery Co., Ltd
Refiner Location:	Gold Industrial Zone, Zhaoyuan Shandong, China
Refiner Contact Person: Name, Title: Email: Phone:	Mr. SUN Xiaohui, Deputy Manager of Sourcing Department Email: zhaojin_sunxiaohui@163.com Tel: +86-535-8166838
Assessment period:	01.01.2016 - 31.12.2016

Assessment findings, including a description of any non-compliance or observation and the timeframe for the implementation of corrective actions:				
	Subcategory	Non-compliance/Observation	Timeframe for implementing corrective actions	Refiner feedback
Step 1:	Step 1.1	No apparent finding 无明显审核发现	4T	4T
	Step 1.2	No apparent finding 无明显审核发现	4T	4T
	Step 1.3	No apparent finding 无明显审核发现	4T	4T
	Step 1.4	No apparent finding 无明显审核发现	4T	4T
	Step 1.5	No apparent finding 无明显审核发现	4T	4T
Step 2:	Step 2.1	No apparent finding 无明显审核发现	4T	4T
	Step 2.2	No apparent finding 无明显审核发现	4T	4T
	Step 2.3	No apparent finding 无明显审核发现	4T	4T
Step 3:	Step 3.1	No apparent finding 无明显审核发现	4T	4T
	Step 3.2	No apparent finding 无明显审核发现	4T	4T
Step 4:	Step 4.1	No apparent finding 无明显审核发现	4T	4T
Step 5:	Step 5.1	No apparent finding 无明显审核发现	4T	4T
Other:	4T	None	4T	4T

The Auditors confirm that:

- ✓ The information provided by the Refiner is true and accurate to the best knowledge of the Auditor(s) preparing this report.
- ✓ The findings are based on verified Objective Evidence relevant to the time period for the assessment, traceable and unambiguous.
- ✓ The Auditor(s) have acted in a manner deemed ethical, truthful, accurate professional, independent and objective.
- ✓ The Auditor(s) are properly qualified to carry out the assessment at this Refiner's facility.

Lead Auditor: Chaco LIANG

Signature: On file

Date: 10 March 2017
