

# FREDERICK GOLDMAN INC.

## GRIEVANCE PROCEDURE

Frederick Goldman, Inc. has established this grievance procedure to address concerns regarding issues affecting the supply chain of:

1. Metals involving gold, silver, PGM, and 3TG
2. Diamond, colored stones, and lab created diamond (LCD)

that material and product are sourced from conflicted-affected and high-risk areas, sourced from countries that violate human rights, and OECD guidance for supply chain due diligence.

Purpose of the Grievance Procedure:

1. Support our due diligence management system from all sources including internal, external, private and public.
2. Ensure that all materials listed above are sourced from conflict free areas.

On receiving a complaint, our aim is to:

1. Get an accurate report of the complaint
2. Explain our complaint procedure to the complainant
3. Ask the complainant how they would like the matter addressed
4. Assess the validity of the complaint, and where applicable, determine who should handle it within the Company. If there are any instances where it cannot be handled internally, we may direct the complainant to a more appropriate entity or institution, such as the relevant manufacturer or industry body
5. Identify the risk criteria and conduct risk assessment according to Company's Due Diligence Management System
6. Decide what action to be taken after communications with all parties involved
7. Advise the complainant of the outcome and our decision(s)
8. Keep record of complaint received and the internal process followed for at least five years

Concerns can be raised by anyone via email or telephone to:

John Orrico  
COO | Due Diligence Officer  
[JOrrico@fgoldman.com](mailto:JOrrico@fgoldman.com)  
212-807-2223