

# Appendix E: External Barrick Questionnaire for Third Parties



## Third Party Data

Supplier/ Contractor Tax ID

Third Party (Supplier/ Contractor) Name

Street Address

City

State/Providence

Country

Pueblo Viejo Dominicana Corporation  
Novo - Centro, Piso 16, Av. Lope de Vega  
No. 29, Ens Naco  
Santo Domingo, Dominican Republic  
Phone: (809) 542-7878  
www.barrick.com

## TRAC Information

TRAC Number Provided  Yes  No

TRAC Number:

Note: TRAC numbers are highly preferred by Barrick for all suppliers and contractors. If you do not already have a TRAC number please visit the TRAC website at <https://tracnumber.com>. For additional questions on how to register contact Barrick supplier maintenance at [PVDCVendorMaint@barrick.com](mailto:PVDCVendorMaint@barrick.com).

## A) ANTI-CORRUPCION RELATED QUESTIONS:

1. Is your company owned<sup>1</sup> or controlled in whole or in part, directly or indirectly, by: A) the government or B) a government agency? If the answer is yes, please provide details below.  Yes  No

2. Are you or any employees of your company a Government official? Or is your Company Owned<sup>2</sup> in whole or in part, directly or indirectly, by a government official? If the answer is yes, please provide details below.  Yes  No

3. Are you or any employees of your company the immediate relative<sup>2</sup> of a government official, or is your company owned in whole or in part, directly or indirectly, by an immediate relative<sup>2</sup> of a government official? If the answer is yes, then please provide details below.  Yes  No

4. Were you referred to Barrick by a government official or an immediate relative of a government official? If the answer is yes, please provide details below.  Yes  No

<sup>1</sup> Excluding a shareholding of 5% or less in a public company listed on a stock exchange.

<sup>2</sup> Only applicable to relatives of government officials who may perform a function related to any of Barrick's business activities.

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5. Will or does your company potentially represent Barrick or interface with a government agency or official? If the answer is yes, please provide details below. Yes No

6. Has your company ever been charged or convicted of bribery, corruption or fraud? If the answer is yes, please provide details below. Yes No

### B) Human Rights Related Questions:

#### B1. ONLY FOR SUPPLIERS WHO PROVIDE GOODS AND SERVICES ON-SITE:

1. Does your company have processes in place to ensure that it does not infringe on the human rights of employees and third parties (such as forced, bonded, trafficked or child labour; workplace discrimination and harassment; security-related abuses; health, safety and environmental abuses)? If the answer is no, please provide details below. Yes No

2. Are you sub-contracting, and if so, does your company have processes in place to ensure that its suppliers do not infringe on the human rights of employees and third parties? If the answer is no, please provide details below. Yes No Not applicable

3. Does your company have processes in place to report, investigate, and remediate actual or potential human rights related infringements? If the answer is no, please provide details below. Yes No

4. Is it accurate to say that neither your company nor any of your employees have ever been charged, convicted, or formally accused of any human rights related abuses in the past (such as forced, bonded, trafficked or child labour; workplace discrimination and harassment; security-related abuses; health, safety and environmental abuses)? If the answer is no, please provide details below. Yes No

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## B2. FOR ALL OTHER SUPPLIERS:

1. Is it accurate to say that neither your company nor any of your employees have ever been charged, convicted, or formally accused of any human rights related abuses in the past (such as forced, bonded, trafficked or child labour; workplace discrimination and harassment; security-related abuses; health, safety and environmental abuses)? If the answer is no, please provide details below.

Yes  No

2. Is it accurate to say that you are **NOT** aware of any specific facts that create a concern that your company or any of your employees may be accused of any human rights related abuses (such as forced, bonded, trafficked or child labour; workplace discrimination and harassment; security-related abuses; health, safety and environmental abuses) in the context of providing goods or services to Barrick? If the answer is no, please provide details below.

Yes  No

Use space below for additional notes for above questions:

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## C. Self- Certification to Barrick's Supplier Code of Business Conduct and Ethics

Third Party must review the Supplier's Code of Ethics Policy at <http://intranet.barrick.com/sites/ETLWSSFORPORTAL/codeofconduct/Document%20Library/Barrick-Code-of-Business-Conduct-and-Ethics.pdf> Third Party acknowledges having read Barrick's Supplier Code of Business Conduct and Ethics ( ) and agrees to comply with its principles and requirements.  Yes  No

If selecting no please provide explanation below:

### Third Party Signature Fields (required)

The person whose signature appears below is authorized to certify on behalf of  and any direct or indirect subsidiaries and/or affiliates, wherever located, including but not limited to  that the foregoing is true and correct. The undersigned acknowledges that some of the information furnished above includes personal data, whose collection and disclosure may be subject to local data protection or privacy laws. The undersigned acknowledges and consents that the personal data may be transmitted to Barrick or its advisors in Canada and the United States of America, as well as to its affiliates, some of which may be established in countries other than the country or countries in which the undersigned has been established and/or is doing business, and that Barrick may review and maintain any personal data furnished above for legitimate business purposes. The undersigned hereby affirms that his or her disclosure of personal data to Barrick complies fully with any and all applicable data protection or privacy laws.

The information provided above is, to the best of my knowledge and belief, accurate, current and complete and does not contain any untrue statements of a material fact or omit to state a material fact necessary to make the statements made, in light of the circumstances under which such statements were made, not misleading. I agree to notify Barrick promptly of any material changes to the information provided herein, for the duration of our engagement.

**Third Party Officer Name Printed**

**Signature**

**Position**

**Email Contact**

**Phone Number**

**Date**

Either hardcopy signature or an electronic signature is acceptable. After signing please return the completed form to Barrick supplier maintenance at [PVDCVendorMaint@barrick.com](mailto:PVDCVendorMaint@barrick.com). Also if additional materials are required please attach documents to the form or in the email. A Barrick Supply Chain or Legal representative may contact the above person if additional clarifications are required.

Thank You.