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Signet Responsible Sourcing Protocol (“SRSP”)

Updated August 2019

1: Signet’s Commitment to Responsible Sourcing

Signet Jewelers (Signet) has taken a leadership role in the development of harmonized industry guidance and standards for many years to ensure that our jewelry is made with integrity, and sourced from a supply chain that is held to a high standard. As part of our core values we are always looking for ways to continuously improve and to do the right thing. While the jewelry industry is associated with many celebratory moments, it is also connected to a complex supply chain filled with concerns about the origin of many materials – such as gold and diamonds. The industry as a whole has taken steps to improve the transparency and integrity of the jewelry supply chain.

As the world’s largest retailer of diamond jewelry, we know we must lead by example. Our dedication to product integrity is at the core of how we do business. When a customer purchases jewelry from a Signet brand store, they assume that our jewelry has been sourced responsibly. When a customer asks a question about our sourcing practices, our Team Members have the information available to answer them. We are not only dedicated to our own supply chain, but are leading the efforts to foster increasingly transparent and responsible jewelry supply chains around the world.

Signet is fully committed to the responsible sourcing of our products and the respect for human rights, and we expect the same from our suppliers around the world. We continually strive to assure our customers, employees, investors and other stakeholders that our supply chain avoids action that may directly or indirectly finance armed conflict and serious human rights violations around the world including the Democratic Republic of Congo and its adjoining countries.

Ensuring the integrity of the supply chain is an issue that affects the entire jewelry industry. Signet therefore believes it is often best to address the challenges through dedicated industry organizations. Signet is a Founding and Certified member of the Responsible Jewellery Council (RJC), an organization that is committed to promoting responsible ethical, human rights, social and environmental practices throughout the jewelry supply chain. As a Founding Member and active participant, we fully support the RJC’s membership Code of Practices and Chain of Custody standards.

Signet is also active in cross-sector coalitions and working groups that reach beyond the jewelry industry to ensure that companies respect human rights and avoid contributing to armed conflict. In particular, Signet supports the United Nations Guiding Principles on Business and Human Rights and the Organisation for Economic Cooperation and Development (OECD) Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas, which forms the basis of the Signet Responsible Sourcing Protocol (“SRSP”), covering all materials supplied to Signet.

Throughout our supply chain, whether we are sourcing directly from mining companies, from the open market or buying from jewelry manufacturers, we have a rigorous due diligence process. Our verification process includes internal and third-party audits, as well as third-party verification such as RJC certification.

2: Signet and Responsible Sourcing

a: Definition of Responsible Sourcing

Signet's responsible sourcing policy is aligned with the Organisation for Economic Co-operation and Development (OECD), Due Diligence Guidance for Responsible Supply Chains and follows the Responsible Jewellery Council (RJC) Code of Practices standard which defines responsible ethical, human rights, social, and environmental practices for businesses in the jewelry supply chain. The objectives of the Code of Practices are to;

- Provide a common standard for RJC Members that builds on international standards for responsible business practices.
- Set out the mandatory expectations for the establishment, implementation and maintenance of policies, procedures and practices in order to manage issues within the business's control.
- Establish provisions that can be independently audited to provide objective evidence for the granting of RJC Certification.
- Drive improvement of business practices for the jewelry supply chain.

b: Signet's Responsible Sourcing Policy

Signet believes that a responsible conflict-free supply chain is fundamental to the reputation of the jewelry industry as a whole, and we are committed to continue our efforts to advance responsible sourcing throughout the supply chain.

The jewelry industry shares a responsibility to meet consumer expectations about the standards for diamond and jewelry production. Today all businesses are expected to take responsibility for their supply chains, especially with respect to human rights and labor practices. These concerns are articulated by a significant body of international and national law, as well voluntary standards such as the United Nations Guiding Principles on Business and Human Rights and the OECD Guidelines for Multinational Enterprises.

As a leading international jeweler Signet works with governments, trade associations, NGOs and jewelry suppliers around the world to implement responsible supply chain standards. The Signet Responsible Sourcing Protocol (SRSP) is designed to ensure that Signet's supply chain does not contribute to conflict, human rights abuses or money laundering.

We have taken an industry-leading role by establishing our Signet Responsible Sourcing Protocols ("SRSPs") for **Gold**, for **Tin, Tungsten and Tantalum (3Ts)** which became company policy for all suppliers in 2013. The SRSPs for gold and 3Ts enabled Signet to file "conflict-free" reports in compliance with the U.S. "Dodd Frank Act" (H.R. 4173), the Wall Street Reform and Consumer Protection Act's Amendment, referred to as the Conflict Mineral, Section 1502 Amendment.

Signet expanded the SRSPs in 2017 when we introduced the SRSP for **Diamonds** and again in 2018 when we introduced the SRSP for **Silver and Platinum Group Metals**. **Colored Gemstones** are included as guidance for suppliers in 2019 and will be a policy for all suppliers in the SRSP in 2020.

This revision to the SRSPs in 2018 combined all Signet Responsible Sourcing Protocols into one guidance document, with the compliance criteria for each mineral listed in the appendices.

By closely collaborating with key partners throughout our supply chain, we designed flexible and adaptable systems that raise the standard for responsibly sourcing raw materials in the jewelry supply chain. The Protocol is aligned with the Organisation for Economic Co-operation and Development (OECD), Due Diligence Guidance for Responsible Supply Chains.

The cornerstone of compliance with the SRSPs is a requirement that all suppliers report to Signet annually that they are sourcing materials supplied to Signet responsibly and in conformance with the requirements of the SRSP for all of the relevant minerals in their supply chains.

c: Signet Supplier Policy

Signet aims to pursue its business activities in what it considers to be an ethical and professional manner. Specifically and subject to the needs of its business, it aims to promote stable, sustainable, long-term relationships with its suppliers and other business partners. Signet intends to live by these principles within its own operations and has adopted Social, Ethical and Environmental Principles and policies to this effect.

All Signet suppliers, and in turn their suppliers, should understand Signet's standards as set out in the Signet Supplier Code of Conduct. Our [Supplier Code of Conduct](#) is included in our Vendor-Buyer Agreement ("VBA") and sets out Signet's expectations of suppliers to align with our responsible sourcing practices.

Signet encourages suppliers to ensure that the Code of Conduct is communicated throughout our supply chain. In accordance with Signet's Vendor-Buyer Agreement ("VBA"), the same obligations and criteria for compliance with the SRSP will apply to subcontractors as apply to Signet's direct suppliers. Suppliers therefore need to pass on the requirements of the SRSP to all subcontractors.

Compliance with the Signet Responsible Sourcing Protocol is a requirement for all Signet suppliers and is an intrinsic element of the Supplier Code of Conduct.

This requirement is verified annually through a dedicated supplier SRSP compliance report, which is in turn required for validation of the annual Signet VBA.

d: Signet and Membership of the Responsible Jewellery Council ("RJC")

Signet is a founding and certified member of the [Responsible Jewellery Council \("RJC"\)](#), which is the global standard for responsible practices in the jewelry industry. Companies certified under the RJC's Code of Practices are demonstrating their commitment to the reputation of the jewelry industry, which is fundamental to maintaining consumer confidence.

As a result, and aligned with Signet's dedication to the continuous improvement in the integrity of global jewelry supply chain, **Signet has made RJC membership and certification a requirement for all suppliers.** Suppliers which achieve RJC certification with the SRSP as a "Provenance Claim" for each relevant mineral are not required to be audited separately by Signet, unless there are special reasons or identified risks which may cause Signet to require an additional audit.

e: Application Scope of the SRSP

The SRSP protocol and Signet's RJC membership requirements apply to all suppliers of jewelry and loose diamonds to Signet, including all other organizations or "doing business as" names or vendor numbers for which the supplier provides products to Signet. This scope therefore applies to the supplier's company which has direct transactions with Signet, as well as the supplier's subsidiary or parent companies, associate companies, affiliate companies, sister companies, companies with shared, joint or associated ownership which are part of the supplier's supply chain.

As an example, if a supplier's direct relationship with Signet is through a U.S. sales office but this office also has related manufacturing operations in India and Belgium which are part of that supplier's supply chain to Signet, the SRSP and the RJC membership requirement will apply to the U.S. company, the Indian company and the Belgian company.

3: Supply Chain Due Diligence

a: OECD Due Diligence Guidance Summary

Signet supports the Organisation for Economic Cooperation and Development (OECD) Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas and has followed this guidance in the development and implementation of the SRSP. Compliance with the SRSP requires all suppliers to follow the same procedures in conducting due diligence on their own supply chains.

The OECD Due Diligence Guidance clarifies how companies can identify and better manage risks throughout the entire mineral supply chain, from miners, local exporters and mineral processors to the manufacturing and retail companies that use these minerals in their products. The Guidance is applicable to all minerals and is global in scope.

The Guidance is now referenced and used in regulations in the United States and serves as the basis for EU regulations on responsible mineral supply chains.

Details of the OECD's 5-Step Framework are explained in Section 4a below.

b: Signet's Supply Chain Due Diligence

Starting with Gold and the "3Ts" in 2011, and subsequently extending the scope into Diamonds, Silver, Platinum Group Metals and Colored Gemstones, Signet has conducted extensive due diligence on the source and chain of custody of all of its products to understand the flow of minerals through the complex and fragmented supply chains to Signet. This due diligence, a process that has been developed and improved over many years, required a rigorous analysis of Signet's supply chains, and consultation with Signet's suppliers as well as leading global organizations.

From this analysis and these consultations, Signet has designed and implemented the Signet Responsible Sourcing Protocol ("SRSP"), introduced for gold and 3Ts as company policy in 2013 and continuously updated and improved thereafter to include diamonds (in 2017), other precious metals (in 2018) and a plan to include gemstones (in 2020), which have led the jewelry industry in providing guidance to suppliers to ensure all products supplied to Signet are responsibly sourced and are "conflict free" and with respect for human rights.

c: Due Diligence Requirements for Suppliers to Signet

All suppliers of jewelry (components and/or finished jewelry) to Signet are required to undertake due diligence on their own supply chains in accordance with the OECD's Due Diligence Guidance 5-step framework to ensure that these supplies are responsibly managed and are "conflict-free" and sourced with respect for human rights.

This includes:

- having company management systems in place and a compliance officer nominated to Signet,
- undertaking a detailed mapping of the supply chains for all minerals, and identifying SRSP-compliant sources as specified for each mineral in the appendices to this SRSP,
- identifying any risks in the supply chains and mitigating such risks in accordance with the SRSP requirements for each mineral and OECD due diligence guidelines
- completing the annual SRSP compliance report and the associated independent audit (if requested by Signet) accurately and on time, in accordance with Signet's requirements.

4: SRSP Core References

Core references and standards which Signet suppliers should use to comply with the SRSP are;

a: OECD Due Diligence Guidance (Summary)

The OECD Due Diligence Guidance for Responsible Supply Chains of Minerals is a core reference for the SRSP. The full OECD Due Diligence Guidance can be found at www.oecd.org/corporate/mne/mining.htm

All Signet suppliers should follow the OECD Due Diligence Guidance framework, at least and especially Steps 1 and 2, as below, as they relate to the SRSP;

1. Establish strong company management systems.

- a) Adopt and have available to Signet a company policy for the supply chain of minerals included in the SRSPs. Suppliers may wish to refer to Annex II of the OECD Due Diligence Guidance, which includes a model supply chain policy. The supplier's policy should incorporate the compliance requirements of the SRSP, against which due diligence is to be conducted.
- b) Structure internal management to support supply chain due diligence and the requirements of the SRSP.
- c) Establish a system of controls and transparency over the mineral supply chain in accordance with the SRSP compliance requirements for each mineral.
- d) Strengthen company engagement with suppliers. A supply chain policy should be incorporated into contracts and/or agreements with suppliers in accordance with the requirements of the SRSP.
- e) Establish a company-level grievance mechanism as an early- warning risk-awareness system.

2. Identify and assess risks in the supply chain.

- a) Identify any risks in their supply chain which may be contrary to the compliance requirements of the SRSP for each mineral.
- b) Assess risks of any adverse impacts in light of any non-compliance with the SRSP for each mineral.

If any risks are identified under Steps 1 and 2, these should be notified to Signet (at info@signetsrsp.com), and the supplier must design and implement a strategy and action plan to respond to these risks, in accordance with Steps 3 to 5 of the OECD Guidance, which must be agreed by Signet.

The OECD is developing a resource for companies to help identify and assess risks in their supply chains, by identifying individual minerals or by identifying individual country sources. This Risk Assessment Platform will become another core reference for the SRSP, and Signet encourages its suppliers to use this resource when available.

b: Responsible Jewellery Council Certification and Provenance Claims

Signet requires all suppliers to be members of the Responsible Jewellery Council ("RJC"), which is the global standard for responsible practices in the jewelry industry. RJC membership should cover all the entities under the control, influence or common ownership of the supplier which are involved in Signet's supply chain (for example, factories in India, China, Thailand etc. as well as US sales offices), not only the company which directly supplies products to Signet, in accordance with the Application Scope of the SRSP in 2e above. Acquisitions by any supplier should be added to any exiting RJC membership scope within 12 months of the acquisition.

The RJC allows a period of two years for a member to be audited and certified, measured from the date a company joins.

New RJC members have two years from their join date to achieve RJC certification. Failure to achieve initial certification on time will result in their member page on the RJC website being suspended and not publicly visible. They will then have a 6-month grace-period to achieve certification.

Existing RJC members who fail to achieve re-certification prior to the expiration of their current certification will result in their member page on the RJC website being suspended and not publicly visible. They will then have a 6-month grace-period to achieve re-certification.

The RJC's Code of Practices includes a voluntary option for members to make claims about the provenance of materials (source, origin or practices used when sourcing), to have these audited as part of their RJC Code of Practices certification audit. Such "Provenance Claims" can serve to assure customers that the materials are sourced responsibly and specifically explain how, such as being recycled, or conflict-free.

Signet strongly recommends that suppliers add compliance with the SRSP for the relevant materials (gold, diamonds, platinum, and, when applicable in the RJC Code of Practices, silver and/or colored stones etc.) as a "Provenance Claim" in their RJC certification. The Provenance Claim must refer specifically to the SRSP for each of the relevant minerals (e.g. "[Company Name] sources gold in compliance with the Signet Responsible Sourcing Protocol): suppliers are free to add additional Provenance Claims in addition to SRSP compliance if they wish.

RJC certification with the Signet Responsible Sourcing Protocol ("SRSP") for each mineral as "Provenance Claims" gives Signet independent assurances about the responsible practices of each supplier company as well as confidence regarding responsible sourcing through each supplier's supply chain, which is an important component of Signet's supply chain due diligence and risk assessment.

Suppliers which achieve this level of certification are not required to be audited separately by Signet, for the SRSP and also for other factory/social audits, for as long as the certification is valid (normally 3 years). Suppliers must inform Signet of any significant changes in the scope of RJC membership, lapses or failure to achieve RJC certification.

Any supplier which cannot provide RJC certification with a Provenance Claim may be subject to an audit of their SRSP Compliance Report and/or their factory/social practices by an independent third party audit firm, based on a risk assessment conducted by Signet. Signet suppliers are responsible for the expense of an audit.

c: The Kimberley Process Certification Scheme and the World Diamond Council System of Warranties

Signet requires all suppliers to comply with the Kimberley Process Certification Scheme and the World Diamond Council System of Warranties.

The Kimberley Process Civil Society Coalition has set out "Eight Key Issues" for improvement in the diamond supply chain. Signet acknowledges this important statement and supports on-going cross-sector collaboration to improve transparency in the global diamond supply chain.

All Signet suppliers (whether or not they supply diamonds or diamond jewelry) must include the warranty statements relating to the WDC System of Warranties in all invoices and delivery notes (see "Warranty Statements" below).

d: The London Bullion Market Association Responsible Sourcing Standard

The London Bullion Market Association (LBMA) Responsible Sourcing Programme was set up to consolidate, strengthen, and formalize existing standards of refiners' due diligence. The Responsible Gold Guidance has been mandatory for all gold "Good Delivery" refiners since 2012, and the LBMA has recently expanded the scope of its responsible sourcing framework to include silver, which became a mandatory requirement for all silver "Good Delivery" refiners from 1 January 2018.

The LBMA's requirements for refiners' "Good Delivery" accreditation, incorporating the Responsible Sourcing standard, are a core reference for the SRSP for precious metals - gold, silver, platinum and palladium. Signet encourages all suppliers using precious metals to ensure refiners in their supply chain are on the current LBMA "Good Delivery" list (see www.lbma.org.uk). Other compliance standards relating to precious metals refiners are listed in the appendices for compliance requirements for gold and for silver/PGMs.

e: Cross-recognition of Other Industry Standards

Signet encourages the cross-recognition and harmonization of relevant standards to reduce unnecessary audit duplication.

For diamonds, the SRSP is harmonized with the De Beers Best Practice Principles, the World Federation of Diamond Bourses Code of Conduct and Chain of Warranties, the Jewelers of America Code of Professional Practices, the International Diamond Manufacturers Association Code of Conduct, the ALROSA ALLIANCE Guidelines on Responsible Business Practices, the United States Diamond Source Warranty Protocol, and the Diamond Development Initiative's Maendeleo Diamonds Standard.

For precious metals, the SRSP recognizes SCS Global Services' "Responsible Source" Standard for Precious Metals (www.scsglobalservices.com/certified-responsible-source-jewelry), the China Chamber of Commerce of Metals Minerals & Chemicals Importers & Exporters (CCCMC) Guidelines for Responsible Minerals Supply Chains (<http://www.cccmc.org.cn/docs/2016-05/20160503161408153738.pdf>) and, based on independent expert assessment, the SRSP also recognizes the DMCC "Dubai Good Delivery" list for gold (see www.dmcc.ae/iltauthority/gold/the-dubai-good-delivery-list-gold/) as equivalent to the LBMA guidance for the supply of gold from certified refineries. The SRSP also recognizes the CRAFT code for artisanal and small-scale mining ("ASM") (see www.responsiblemines.org/en/our-work/standards-and-certification/craft), the Fairtrade Gold Standard through registered refineries (www.fairgold.org) and gold supplied through the Responsible Artisanal Gold Solutions Forum (RAGSF).

For 3Ts and gold, the SRSP recognizes the Responsible Minerals Initiative (RMI) Responsible Minerals Assurance Process (RMAP) and the list of conformant 3Ts and gold smelters and refiners at www.responsiblemineralsinitiative.org/conformant-smelter-refiner-lists/.

In case any Signet supplier relies on any trade associations, membership organizations on any other organization for their responsible supply chain policy, suppliers should establish what standards or guidance are used by these organizations to provide assurance or responsible practices to the supplier's supply chain, and ensure that Signet confirms that these standards are consistent with the requirements of the SRSP.

f: International Policy Positions (by governments and civil society)

As a leading international jeweller, Signet works with governments, trade associations, civil society (NGOs) and jewelry suppliers around the world to implement responsible supply chain standards. The Signet Responsible Sourcing Protocol (SRSP) is designed to ensure that Signet's supply chain complies with applicable laws and does not contribute to conflict or human rights abuses.

Signet will not purchase jewelry in any form from companies or entities subject to United Nations, US, UK, Canadian or EU sanctions. Suppliers must conduct thorough due diligence in support of Signet's legal requirements in this and all current or future areas of regulatory compliance.

Signet reserves the right to restrict or forbid without notice the supply of any materials in response to policy positions by governments and/or reports by civil society, which may relate to human rights abuses, contribution to conflict, or social and environmental disturbance.

5: Compliance with the Signet Responsible Sourcing Protocol (SRSP)

Summary:

Suppliers must ensure that they follow the following compliance procedures and that all compliance criteria are met for the minerals supplied to Signet as listed in the relevant Appendices to the SRSP.

Compliance with the SRSP is based on the OECD's Due Diligence Guidance and the Responsible Jewellery Council Code of Practices.

"Responsibly sourced" means that suppliers will avoid contributing to human rights abuses and/or conflict through their sourcing practices. Suppliers must map their supply chain and employ due diligence to identify risks and take appropriate measures to mitigate any identified risks.

In accordance with Signet's Supplier Code of Conduct, the same obligations and criteria will apply to subcontractors as apply to Signet's direct suppliers. Suppliers will therefore need to pass on the requirements of the SRSP to all subcontractors.

General Compliance Requirements

a: Management Systems

All suppliers should have a dedicated contact person for Signet who acts as "compliance officer" for the SRSP and who is responsible for the annual SRSP compliance report and management of any related audits (e.g. RJC certification or SRSP audits).

Suppliers must have terms of business with suppliers and policies and procedures in place which are consistent with the SRSP compliance criteria. These terms of business must be documented and available for review by audit if requested.

Suppliers must be able to demonstrate through transaction documentation that these terms of business and policies have been implemented throughout their business, through documentation such as invoices, delivery notes, product certificates etc.

b: Supply Chain Due Diligence

Suppliers must have a demonstrable due diligence procedure to analyse and map their supply chains (including clear identification of their own suppliers, KYC details, terms of business in accordance with the SRSP and any provenance of materials).

Suppliers are required to undertake due diligence on all sources of jewelry materials included in the SRSP, even if the quantity of the material is small. There is no "de minimis"/minimum level of supply, so for such small volumes (e.g. of plated materials, diamond accents, repairs etc.), suppliers are required at a minimum to ask subcontractors to verify their sources, and this inquiry should be documented.

Through this due diligence, suppliers should be able to identify any risks in their supply chain, especially any risks relating to the compliance requirements of the SRSP.

Suppliers must have a procedure to assess the possibility of adverse impacts of these risks relating to the compliance criteria of the SRSP, and be prepared to take measures to mitigate or eliminate these risks.

c: Identification of Risks, “Red Flags” and Enhanced Due Diligence

If a supplier identifies a risk in their supply chain to Signet, the supplier should undertake enhanced due diligence as follows;

- i: Report findings of the supply chain risk assessment to Signet at info@signetsrsp.com
- ii: Devise and adopt a risk management plan. Devise a strategy for risk management by either
 - (a) continuing trade throughout the course of measurable risk mitigation efforts;
 - (b) temporarily suspending trade while pursuing ongoing measurable risk mitigation;
 - (c) disengaging with a supplier after failed attempts at mitigation or where a company deems risk mitigation not feasible or unacceptable.
- iii: Implement the supplier’s risk management plan, monitor and track performance of risk mitigation efforts and report back to Signet.
- iv: Undertake additional fact and risk assessments for risks requiring mitigation, or after a change of circumstances.

d: Know Your Counterparty (KYC)

Suppliers are required to apply Know Your Customer/Counterparty principles (“KYC”) to their supply chains, which require businesses to establish the identity of all organisations with which they deal, have a clear understanding of their business relationships and have a reasonable ability to identify and react to transaction patterns appearing out of the ordinary or suspicious. KYC procedures may include;

- i. Collection and analysis of basic identity information.
- ii. Name matching against lists of known parties.
- iii. Details of the supplier’s policies and procedures (especially relating to identification of sources of scrap/recycled supply).
- iv. Determination of the supplier’s risk, especially in terms of propensity to supply minerals from an area of conflict or human rights abuses and the trade of minerals on a cash transaction basis.
- v. An expectation of a customer’s transactional behavior.
- vi. Monitoring of a customer’s transactions against their expected behavior and recorded profile.

Documentation relating to the application of KYC is required for all sources of recycled or “scrap” materials.

e: Conflict-Free

Signet will not tolerate any direct or indirect support to non-state armed groups through the extraction, transport, trade, handling or export of minerals used in supplies to Signet.

Direct or indirect support to non-state armed groups through the extraction, transport, trade, handling or export of minerals includes, but is not limited to, procuring minerals from, making payments to or otherwise providing logistical assistance or equipment to, non-state armed groups or their affiliates who;

- i: Illegally control mine or manufacturing sites or otherwise control transportation routes, points where minerals are traded and upstream actors in the supply chain and/or
- ii: Illegally tax or extort money or minerals at points of access to mine or manufacturing sites, along transportation routes or at points where minerals are traded; and/or
- iii: Illegally tax or extort intermediaries, export companies or international traders.

Suppliers must ensure that all minerals supplied to Signet do not directly or indirectly contribute to conflict.

Suppliers should ensure that the minerals are “conflict-free” through compliance with the criteria listed in the Appendices to the SRSP and associated standards and guidance (e.g. RJC certification, Kimberley Process certification, LBMA Responsible Sourcing standards).

Suppliers may source from areas of conflict (e.g. DRC and neighbouring countries) providing those sources are certified in accordance with international minerals standards as listed in the Appendices to the SRSP, and any such certification must require an independent third party audit.

In the absence of verification against such accredited standards in the SRSP, suppliers must undertake due diligence to ensure minerals are not sourced from areas of conflict.

f: Human Rights

Suppliers shall respect Human Rights and observe the UN Guiding Principles on Business and Human Rights in ways appropriate to their size and circumstances, including as a minimum;

- i. A policy commitment to respect Human Rights,
- ii. Inclusion measures in the supplier’s due diligence process that seek to identify, prevent, mitigate and account for how they address their impacts on Human Rights,
- iii. Where suppliers identify that they have caused or contributed to adverse Human Rights impacts, they shall provide for or cooperate in legitimate processes to enable the remediation of those impacts.

Suppliers due diligence on their supply chains should also verify that their own suppliers also follow these minimum Human Rights requirements.

Suppliers’ policies and practices relating to the respect and protection of Human Rights should follow SA 8000 standard (see [www.sa-intl.org/_data/global/files/SA8000Standard2014\(3\).pdf](http://www.sa-intl.org/_data/global/files/SA8000Standard2014(3).pdf)) and/or the RJC Code of Practices standard’s section on Human Rights (see www.responsiblejewellery.com/files/RJC_Standards_Guidance_2013_eng.pdf). For further details see the Human Rights Appendix.

g: Product Integrity & Disclosure

Suppliers must ensure that the minerals and products supplied to Signet and to the supplier through the supplier’s supply chain are correctly and accurately represented, including providing certificates where applicable (e.g. diamond grading certificates, gold purity/assay certificates).

Suppliers must adhere to the US Federal Trade Commission’s Guides for the Jewelry, Precious Metals, and Pewter Industries, as amended in 2018. The FTC Guides apply to all levels of the industry and are especially focused on the avoidance of misleading or deceptive language.

h: AML, Bribery and Facilitation Payments

Suppliers must establish policies that:

- i. Prohibit bribery in all business practices and transactions carried out by the supplier and by agents acting on behalf of the supplier.
- ii. Protect Employees from any penalty or adverse consequences for identifying in good faith concerns related to suspected Bribery, for refusing to participate in Bribery, or refusing to pay a Facilitation Payment where Facilitation Payments are prohibited.
- iii. Set the criteria and approval procedures to be followed by Employees in respect of the offer and/or acceptance of gifts with third parties.
- iv. Train relevant managers and employees on policies and procedures.

- v. Record relevant gifts to and from third parties in a gift register, as per the supplier's policy.
- vi. Investigate any incidences of suspected bribery within their organisation.

Where facilitation payments are permitted by applicable law, suppliers shall:

- i. Undertake actions to eliminate all Facilitation Payments, or to reduce the size and frequency of Facilitation Payments over time.
- ii. Ensure that any Facilitation Payments are of limited nature and scope.
- iii. Implement controls to monitor, oversee and fully account for any Facilitation Payments made by or on behalf of the supplier.

Suppliers shall apply Know Your Counterparty ("KYC", see above) principles for business partners that are suppliers or customers, including monitoring transactions for unusual or suspicious activity and reporting suspicions of money laundering or finance of terrorism to the relevant designated authority.

Suppliers shall maintain records of all cash or cash-like transactions which occur above the relevant defined financial threshold under applicable law and, where required, report these to the relevant designated authority.

i: Early Warnings, Grievances and Whistle-Blowing

Suppliers must have evidence of a company-level, or industry-wide, grievance mechanism as an early-warning risk-awareness system. Suppliers can also use the annual SRSP Compliance Report as a means of communicated grievances relating to the SRSP to Signet. Suppliers can also report risks in their own or others' supply chains through the SRSP Compliance Report.

All grievances or reporting of identified risks will be treated in strict confidence by Signet.

j: Additional or Unforeseen Compliance Requirements

Signet may require suppliers to comply with additional or unforeseen requirements from time to time.

In these circumstances, Signet will advise the supplier's designated contact person for SRSP compliance of any additional compliance requirements, with details of the compliance requirements, compliance criteria and required timescales for compliance.

Compliance for additional or unforeseen circumstances may be outside the normal SRSP reporting procedures and timescales.

6: Warranty Statement Requirements

Suppliers will be required to declare compliance with the SRSP in commercial documentation as defined by Signet, such as supplier agreements, invoices, delivery notes etc. Following successful reporting of compliance with the SRSP, all Signet suppliers must include the following warranty statements in full on all invoices and delivery notes, irrespective of the products and minerals supplied to Signet:

The World Diamond Council (WDC) has revised their System of Warranties (SoW) this year, which is designed to extend the effect of the Kimberley Process to include polished diamonds.

No Change: The seller warrants that these products have been supplied in compliance with the Signet Responsible Sourcing Protocol ("SRSP").

Updated: *Any diamonds herein invoiced have been purchased from legitimate sources not involved in funding conflict and in compliance with United Nations Resolutions and corresponding national laws. The seller hereby guarantees that these diamonds are conflict-free and confirms adherence to the WDC SoW Guidelines.*

No Change: *The seller hereby guarantees that any diamonds herein invoiced are exclusively of natural origin and untreated, based on personal knowledge and/or written guarantees provided by the supplier of these diamonds.*

Signet will allow suppliers to use the previous WDC warranty statement for a transition period. Suppliers should try to use the new WDC warranty statement as soon as possible after reporting compliance with the 2019 SRSP. The new warranty statement will be a mandatory requirement by June 30, 2020.

7: Reporting Requirements

All new suppliers to Signet will be expected to complete a SRSP compliance report before any commercial activity relating to the supply of jewelry and/or jewelry (e.g. loose diamonds) components between the companies begins. Suppliers are also required to declare the status of their RJC membership

All suppliers are required to report compliance with the SRSP annually through an online compliance report provided by Signet, covering all relevant minerals supplied to Signet. The report is normally conducted around September every year.

Suppliers are required to provide a valid contact person for completion of the SRSP Compliance report, who will receive an email notification to establish login credentials to complete the report on behalf of all vendor numbers for that supplier to Signet.

Suppliers must ensure that the SRSP compliance report is completed accurately, completely and on time and that the report correctly states all the criteria for compliance for each mineral, as listed in the Appendices to the SRSP.

Suppliers must quote the SRSP compliance report confirmation number as part of the annual contract or buying agreement with Signet (Vendor- Buyer Agreement or "VBA").

8: Auditing Requirements

Signet's primary audit assurance is through the supplier's Responsible Jewellery Council certification audit, with the relevant minerals included as "Provenance Claims". For non-RJC members, Signet may require suppliers to undertake an independent audit of their 2019 SRSP Compliance Report, based on Signet's risk assessment relating to the supplier's report.

Unless there are special reasons which may cause Signet to require additional audits, RJC certification with the SRSP as Provenance Claims will exempt suppliers from all Signet audits (SRSP as well as factory/social audits) for as long as the RJC certification remains current.

Any supplier which cannot provide RJC certification with a Provenance Claim may be subject to an audit of their mandatory SRSP Compliance Report and/or their factory/social practices by an independent third party audit firm, based on a risk assessment by Signet.

In such cases, Signet will notify suppliers of the requirement for an audit as part of the annual SRSP compliance reporting procedure. Suppliers must then appoint an auditor from [the RJC's accredited audit firms](#), selecting one designated as an SRSP accredited auditor.

The audit must normally be completed within 2 months of the notice of audit from Signet. The supplier must book and pay for the audit, and provide the necessary audit report or summary to Signet.

The audit should confirm that the supplier has adequate policies in place to comply with the SRSP for the relevant minerals, and can demonstrate through transactional documentation that these policies are being implemented. The audit should validate both policy documentation and transaction documentation.

Signet may from time to time request additional audits, especially for additional and/or unforeseen compliance requirements (see above).

Detailed Audit Guidance is provided by Signet for suppliers and auditors to manage the audit process, available at www.signetresponsiblesourcing.com. This Guidance is applicable for RJC audits as well as Signet audits.

9: Signet Support and Training

Details of Signet's Corporate Social Responsibility (CSR) program including Responsible Sourcing are available at the Signet corporate website (www.signetjewelers.com). Signet provides additional resources for suppliers, auditors and other stakeholders to understand the requirements of the SRSP and subsequent audits. The dedicated website for the SRSP process is www.signetresponsiblesourcing.com.

This website contains;

- Signet documents such as the SRSP and Audit Guidance
- Copies of presentations and training webinars relating to SRSP compliance reporting and auditing.
- Frequently Asked Questions relating to the SRSP and reporting process
- Relevant RJC documents and a link to the RJC
- Access for suppliers to complete the annual SRSP Compliance Report.

Signet provides online live training webinars for suppliers to explain both the annual SRSP Compliance Reporting process as well as audit requirements.

All suppliers can contact the Signet Responsible Sourcing team by email at info@signetsrsp.com.

SRSP GOLD APPENDIX:

SRSP COMPLIANCE REQUIREMENTS FOR GOLD

Date: May 2018

The requirements in the SRSP apply to **all gold products** (finished and components), and to all products containing gold, with the exception of watches.

Suppliers are required to undertake due diligence on all sources of supply of gold, even if the quantity of the material is small. There is no “de minimis”/minimum level of supply, so for such small volumes (e.g. of plated materials, repairs, flashing etc.), suppliers are required at a minimum to ask subcontractors to verify their sources of gold, and this inquiry should be documented.

Suppliers are required to certify the gold supplied to Signet, either by certification of **all** gold manufacture and supply, or, if this is not possible, by segregating manufacture and supply of gold to Signet from the manufacture and supply of gold to other customers.

The SRSP identifies the requirements for responsibly sourced and “conflict-free” gold at all levels in the supply chain, as below:

1: Refineries

The SRSP only accepts gold from Refinery sources as follows:

- Gold refiners on the LBMA good delivery list for the reporting year
 - (see www.lbma.org.uk , “Good Delivery”, “Gold List”)

or

 - Gold refiners on the Responsible Minerals Initiative Conformant Smelters and Refiners list for the reporting year
 - (see www.responsiblemineralsinitiative.org)

or

 - Gold refiners on the DMCC “Dubai Good Delivery” list for gold for the reporting year
 - (see www.dmcc.ae/jltauthority/gold/the-dubai-good-delivery-list-gold/)

or

 - Gold refiners which are certified Members of the Responsible Jewellery Council (RJC)
 - (see www.responsiblejewellery.com/members/certified-members)

or

 - Gold refiners which certify and independently audit that **all** gold supplies are conflict-free, in accordance with one of the following guidelines/standards;
 - i. RJC Chain of Custody Standard for Precious Metals
 - (see www.responsiblejewellery.com/chain-of-custody-certification)
 - ii. RJC Membership certification which includes statements relating to sources and/or supply of conflict-free gold under “Provenance Claims” in the RJC’s Code of Practices revised 2013
 - iii. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, Supplement on Gold
 - (see www.oecd.org, search “conflict minerals”)
 - iv. Fairtrade Gold Standard (see www.fairgold.org)
- or

- Gold refiner which are certified under SCS Global Services' "Responsible Source" Standard for Precious Metals (www.scsglobalservices.com/certified-responsible-source-jewelry)

or

- Gold refiners which certified that all supplies to the refinery are from mines which comply with the World Gold Council Conflict-free Standard
 - (see www.gold.org/about_gold/sustainability/conflict_free_standard)

or

- Gold refiners which certify that all supplies to and by the refinery are in accordance with the China Chamber of Commerce of Metals, Minerals and Chemicals Importers & Exports "Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains" (see www.cccmc.org.cn). Supplies of gold through the Shanghai Gold Exchange are deemed to be compliant with the SRSP.

2: Banks

The SRSP only accepts gold from Banks as follows:

- Banks which certify and independently audit that all gold is supplied from refineries which fulfil the SRSP criteria under "Refineries" as above.

or

- Banks which certify and independently audit that all gold supplies are responsibly sourced and "conflict-free", in accordance with one of the following guidelines/standards;
 - i. RJC Chain of Custody Standard for Precious Metals
 - (see www.responsiblejewellery.com/chain-of-custody-certification)
 - ii. RJC Membership certification which includes statements relating to sources and/or supply of conflict-free gold under "Provenance Claims" in the RJC's Code of Practices revised 2013
 - iii. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, Supplement on Gold
 - (see www.oecd.org, search "conflict minerals")

3: Precious Metals Trading Companies/Alloy Suppliers

The SRSP only accepts gold from Precious Metals Trading Companies and Alloy Suppliers as follows:

- Companies which certify and independently audit that all gold is supplied from refineries and/or banks which fulfil the SRSP criteria under "Refineries" and "Banks" as above.

or

- Companies which certify and independently audit that all gold supplies are responsibly sourced and "conflict-free", in accordance with one of the following guidelines/standards;
 - i. RJC Chain of Custody Standard for Precious Metals (see www.responsiblejewellery.com/chain-of-custody-certification)
 - ii. RJC Membership certification which includes statements relating to sources and/or supply of conflict-free gold under "Provenance Claims" in the RJC's Code of Practices revised 2013

- iii. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, Supplement on Gold (see www.oecd.org, search “conflict minerals”)
- iv. SCS Global Services’ “Responsible Source” Standard for Precious Metals (www.scsglobalservices.com/certified-responsible-source-jewelry)
- v. Fairtrade Gold Standard (www.fairgold.org.)

4: Subcontractors of Component Parts or Finished Products

Note: In accordance with Signet’s Supplier Code of Conduct, the same obligations and criteria will apply to subcontractors as apply to Signet’s direct suppliers. Suppliers will therefore need to pass on the requirements of the SRSP to all subcontractors.

SRSP only accepts gold from Subcontractors of Component Parts or Finished Products as follows:

- Subcontractors which certify and independently audit that all gold is supplied from refineries, banks and/or precious metals trading companies which fulfil the SRSP criteria under “Refineries”, “Banks” and “Precious Metals Trading Companies” as above, and scrap/recycled gold as below.

or

- Subcontractors which certify and independently audit that all gold supplies are responsibly sourced and “conflict-free”, in accordance with one of the following guidelines/standards;
 - i. RJC Chain of Custody Standard for Precious Metals (see www.responsiblejewellery.com/chain-of-custody-certification)
 - ii. RJC Membership certification which includes statements relating to sources and/or supply of conflict-free gold under “Provenance Claims” in the RJC’s Code of Practices revised 2013
 - iii. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, Supplement on Gold (see www.oecd.org, search “conflict minerals”)
 - iv. SCS Global Services’ “Responsible Source” Standard for Precious Metals (www.scsglobalservices.com/certified-responsible-source-jewelry)
 - v. Fairtrade Gold Standard (www.fairgold.org)

5: Scrap and Recycled Gold

The SRSP only accepts scrap and/or recycled gold as follows:

- Suppliers which certify and independently audit that all scrap and recycled gold is identifiable as its own production and supply, i.e. that the scrap gold is;
 - i. Returned product from customers
 - ii. Faulty inventory
 - iii. Scrap and waste gold arising during manufacturing

or

- Suppliers which certify and independently audit that all scrap and recycled gold is acquired according to Know Your Customer/Counterparty principles (“KYC”), which require businesses to establish the identity of all organisations with which they deal, have a clear understanding of their business relationships and have a reasonable ability to identify and react to transaction patterns appearing out of the ordinary or suspicious. KYC procedures may include;
 - i. Collection and analysis of basic identity information.
 - ii. Name matching against lists of known parties.
 - iii. Determination of the supplier's risk in terms of propensity to supply gold from an area of conflict.
 - iv. An expectation of a customer's transactional behavior.

- v. Monitoring of a customer's transactions against their expected behavior and recorded profile.

or

- Companies which certify and independently audit that all gold supplies are responsibly sourced and “conflict-free”, in accordance with one of the following guidelines/standards;
 - i. RJC Chain of Custody Standard for Precious Metals (see www.responsiblejewellery.com/chain-of-custody-certification)
 - ii. RJC Membership certification which includes statements relating to sources and/or supply of conflict-free gold under “Provenance Claims” in the RJC’s Code of Practices revised 2013
 - iii. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, Supplement on Gold (see www.oecd.org, search “conflict minerals
 - iv. SCS Global Services’ “Responsible Source” Standard for Precious Metals (www.scsglobalservices.com/certified-responsible-source-jewelry)

6: “Grandfathered” Gold

The SRSP accepts gold in any form from any of the sources listed above which is held by suppliers, banks, refiners, metals trading companies, scrap suppliers or subcontractors and which has a verifiable date prior to 1 January 2012, in accordance with OECD, LBMA and RJC guidelines.

It is noted that the US “Dodd-Frank” Act Section 1502 rules have an equivalent “grandfathered” date of 1 January 2013: however the SRSP verifiable date remains 1 January 2012, to remain in accordance with the OECD, LBMA and RJC guidelines.

A verifiable date is one which can be verified through inspection of physical date stamps on products such as gold bars, jewellery hallmarks and/or auditable inventory lists which are specific to the individual item of gold, the component, subcomponent or finished item of jewelry.

7: Exceptions

Exceptions to the SRSP standards listed above may be made on a case-by-case basis. In all such cases, suppliers will be expected to identify and certify the sources of gold, preferably to the refinery, and validate why these sources should be determined as conflict-free. All exceptions must be confirmed in advance and in writing by Signet, and an external assessment and/or independent audit of this validation may be required.

SRSP 3Ts APPENDIX:

SRSP COMPLIANCE REQUIREMENTS FOR TIN, TUNGSTEN AND TANTALUM (“3Ts”)

Date: May 2018

The requirements in the SRSP apply to all products (finished and components), and to all products containing any of the 3Ts, with the exception of watches.

Suppliers are required to certify the products supplied to Signet are responsibly sourced and “conflict-free”, either by certification of all products manufacture and supply which include the 3Ts, or, if this is not possible, by segregating manufacture and supply of products to Signet from manufacture and supply of products to other customers.

The SRSP for conflict-free tin, tungsten and tantalum requires suppliers to certify and externally audit supplies as follows:

1: That the supplier to Signet can identify the smelter/refiner of the tin, tungsten or tantalum, and that the smelter/refiner is listed on the Responsible Minerals Initiative (RMI) Conformant Smelters and Refiners list at www.responsiblemineralsinitiative.org/conformant-smelter-refiner-lists,

or

2: That the supplier to Signet can identify the smelter/refiner of the tin, tungsten or tantalum, and that the smelter/refiner can certify that the material has not been sourced from an area of conflict,

or

3: That the supplier to Signet can demonstrate that the supplies to and by the smelter/refiner are in accordance with the China Chamber of Commerce of Metals, Minerals and Chemicals Importers & Exports “Chinese Due Diligence Guidelines for Responsible Mineral Supply Chains” (see www.cccmc.org.cn).

or

4: That the supplier to Signet has requested that its suppliers and/or subcontractors of tin, tungsten or tantalum identify the smelter/refiner and that the supplier and/or subcontractor can fulfil the requirements under (1), (2) or (3) above,

or

5: That the supplier has, in accordance with OECD guidelines, attempted to identify, to the best of efforts, the smelters/refiners in the supply chain for tin, tungsten or tantalum, and can demonstrate the methodology involved in these efforts. As a result of this due diligence, the supplier can certify that there is no reason to believe that these supplies originate from an area of conflict.

SRSP DIAMOND APPENDIX:

Date: May 2018

1. General Principles

The SRSP is designed to ensure that all Signet jewelry materials are responsibly sourced. However, the SRSPs recognize that jewelry supply chains are not linear and that these standards must take appropriate account of the differentials. This is especially the case with respect to the diamond supply chain.

Therefore, the definition of “source” recognizes that supply chain due diligence is in most cases conducted by a supplier with respect to their supplier. The diamond categories are designed so that Suppliers can report diamond sources relevant to their position in the supply chain. However, Suppliers must have a policy to the effect that original producer information is sought from suppliers wherever this information is available. Signet expects Suppliers to take steps to increase the percentage of material supplied to Signet with identified provenance to an original producer, over time.

The SRSP applies to all diamonds supplied to Signet including loose rough and polished diamonds, and diamonds set into finished jewelry.

2. Testing for Undisclosed Laboratory Grown Diamonds

2.1 All Suppliers to take substantive and documented action to avoid the inclusion of undisclosed laboratory-grown/laboratory-created/synthetic diamonds, undisclosed treated diamonds or undisclosed diamond simulants in parcels provided to Signet. To that end, Suppliers must:

2.1.1 Conduct an internal pipeline risk assessment, covering all movement of product, identifying all possible points at which undisclosed laboratory-grown/laboratory-created/synthetic diamonds, undisclosed treated diamonds or undisclosed diamond simulants could enter the Suppliers’ natural diamond supply chain. Policies, procedures and training must pay special attention to these risk points and mitigate the risks appropriately.

2.1.2 Testing must be implemented on the following bases:

2.1.2.1 Loose polished diamonds - 100% of your loose polished diamonds must be tested prior to the diamonds being moved into a production environment or set into jewelry. The tested diamonds must be sealed immediately following testing, and the sealed diamonds carefully secured throughout the jewelry manufacturing process.

2.1.2.2 Finished jewelry – Suppliers should work towards 100% testing. Where this is not possible, suppliers should screen using the De Beers BPP Disclosure Practice Note 2018 as guidance. Suppliers must be able to evidence they are working towards 100% screening of finished jewelry.

2.1.3 Suppliers must be able to demonstrate and evidence that 100% loose diamonds are tested and the percentage of set diamonds tested, and maintain relevant documentation.

2.1.4 Supplier testing must be conducted with the use of the best available detection technology and fully trained staff, or testing may be outsourced to a qualified and accredited gemological testing laboratory. Suppliers should consult the Assure Directory to ensure that diamond detection technology employed in their supply chain has been certified under the Assure Standard.

- 2.1.5 Implement effective and detailed policies, procedures, security, monitoring and training to avoid the possibility for undisclosed laboratory-grown/laboratory-created/synthetic diamonds, undisclosed treated diamonds or undisclosed diamond simulants to be switched for natural diamonds during the production process.
- 2.1.6 Where a Supplier deals in laboratory-grown diamonds the Supplier must have clear policies and/or procedures and take all precautions to ensure that laboratory-grown diamonds are segregated from natural diamond production/polishing/jewelry manufacture/trading and/or any other relevant process in the pipeline at all times. Policies, procedures and training must make specific provision for this risk.
- 2.1.7 Implement adequate procedures and maintain clear records with respect to product handling, storage and transportation, which will assist in identifying any irregularities.
- 2.1.8 Implement appropriate training for staff involved in handling, movement or security of product.
- 2.1.9 These requirements should also be implemented in accordance with Clause 8 - Disclosure.

3. Definitions

- 3.1 Diamond: "Mineral consisting essentially of carbon crystallized in the isometric (cubic) crystal system, with a hardness on the Mohs' scale of 10, a specific gravity of approximately 3.52 and a refractive index of approximately 2.42, created by nature." (ISO 18323)¹
- 3.2 Treated diamond: "diamond having undergone any human intervention other than cutting, polishing, cleaning and setting, to permanently or non-permanently change its appearance. EXAMPLES Coating, fracture filling, heating, irradiation, laser drilling, HPHT treatment or any other physical or chemical process." (ISO 18323)
- 3.3 Laboratory-grown diamond/laboratory-created diamond/synthetic diamond:
"artificial product that has essentially the same chemical composition, crystal structure and physical (including optical) properties as a diamond." (ISO 18323)
- 3.4 The "source" of diamonds includes the Supplier of:
 - rough – direct producer
 - rough – secondary market/open market
 - polished – various suppliers
 - recycled goods and repairs
 - finished diamond jewelry and other products including watches

3.5 "Identified and verified" sources include:

- Identified producers (mining companies) which are independently certified under separate, relevant international standards (such as the RJC Code of Practices) and publish an annual report.
- Smaller industrial or artisanal producers that provide information about the original source of the diamonds and the standards of their operations, verified by reasonable due diligence such as the OECD DDG.

¹ <https://www.iso.org/obp/ui/#iso:std:iso:18323:ed-1:v1:en>

- Secondary market rough suppliers that provide information about the sources of their rough as far as possible.
- Polished Suppliers who manufacture in facilities under their direct control or using identified subcontractors.
- Jewellery manufacturers or wholesalers.
- Suppliers of recycled diamonds or recycled diamond jewellery.

3.6 The separate relevant international standards referred to in 3.5 include environmental management certifications such as ISO 14001 (and/or equivalents) and social performance certifications such as SA 8000 (and/or equivalents).

3.7 Continuous improvement is defined for the purposes of the D-SRSP as follows. All Signet Suppliers must have:

- a policy statement to the effect that they will seek as much information as possible about the original sources of the diamonds they supply to Signet. This policy statement should include:
 - an objective of achieving full transparency through their supply chains over a set period of time, and
 - measurable targets on an annual basis
- a standard Terms of Business agreement with all their diamond suppliers which shall include the requirements of the SRSP;
- the standard Terms of Business agreement must include a clause to the effect that their suppliers shall provide as much information as possible about the original sources of diamonds they supply and develop similar objectives to increase the information available over the same time periods.

Suppliers should be able to demonstrate how they are measuring improvement against the targets they have set and some improvement in the percentage of diamonds from original sources which they supply to Signet, as a percentage of the total dollar value of all diamonds they supply to Signet, on an annual comparative basis

4. SRSP Categories

Signet suppliers must identify all the diamonds they supply to Signet by reference to any or all of the Categories set out below.

- Category 1. Single Stone Tracking: Individual diamonds supplied by or sourced from identified diamond producers (mining companies) which are independently certified under separate, relevant international standards (such as the RJC Code of Practices). All diamonds in this category should be identifiable as being sourced from the producer/mining company.
- Category 2. Parcel Tracking: Parcels of diamonds supplied by or sourced from identified diamond producers which are independently certified under separate, relevant international standards (such as the RJC Code of Practices). All parcels of diamonds in this category should be identifiable as being sourced from the producers/mining companies.
- Category 3. Mixed Sources: This category allows for the mixing of diamonds deriving from a number of different sources, with some percentage of the diamonds deriving from identified and verified sources.

- Category 4. Other Identified and Verified Sources: This category applies to diamonds which derive from small-scale or artisanal producers. All diamonds in this category should be identifiable as being sourced from small-scale or artisanal producers.

5 Evidence of Compliance

5.1 All categories must be evidenced by a documented inventory management system and transaction documents.

Categories 1 and 2:

- Inventory records, transaction documents.

Category 3:

- Additional statements identifying provenance should be obtained where possible, and records maintained.
- Documented evidence of management processes designed to deliver continuous improvement over time.
- Where the sources are retail returns, repairs, or recycled diamonds and other used sources, records must be maintained which state the source.

Category 4:

- Where the rough is derived from several sources, such as smaller mines and artisanal sources, evidence of each source must be maintained where available, as well as information about the relevant warranty/certification – for example, RJC Certification, KP Certificates, DDI's Maendeleo Diamond Standards™.
- Documented evidence of management processes designed to deliver continuous improvement over time.

6 Disclosure

6.1 Suppliers must have clear written policies and procedures to ensure that natural diamonds, laboratory-grown diamonds, treated diamonds, and diamond simulants are fully, proactively and conspicuously disclosed at all times.

6.2 The policies and procedures must cover all relevant contracts, certificates and records of workers involved in the buying and selling of diamonds.

6.3 Full disclosure is the complete and total release of material information about diamonds and the material steps the diamonds have undergone prior to sale. The Supplier must make all reasonable efforts to ensure that this information is disclosed at all times during the selling process. Full disclosure of all material facts must take place whether or not the information is specifically requested and regardless of the effect on the value of the diamonds being sold.

6.4 The disclosure policy must comprise of the following:

6.4.1 A statement that all relevant information will be verbally disclosed prior to completion of sale.

- 6.4.2 A statement that all relevant information will be conspicuously disclosed on receipts/bills of sale in plain language, readily understandable to the customer.
- 6.4.3 A statement that disclosure will immediately precede or succeed the description of the stone or parcel and be equally conspicuous to that description.
- 6.4.4 A statement that this policy applies to the selling, advertising and distributing of any natural diamond, laboratory-grown diamond, treated diamond, or diamond simulant.
- 6.4.5 A statement that there will be no attempt to mislead customers through illustrations, descriptions, expressions, words, figures, depictions or symbols relating to the stones.

7 Intellectual Property

7.1 Signet requires all Suppliers who supply loose diamonds or diamond jewelry to take substantive and documented action to avoid the inclusion of diamonds that infringe² on the intellectual property rights³ of third parties in parcels or finished jewelry provided to Signet. To that end, Suppliers who supply loose diamonds or diamond jewelry must:

7.1.1. Document with drawings, descriptions, images, or other records the facet placement, size, and shape of each cut of diamond they manufacture or purchase from their suppliers;

7.1.2. Document with receipts, license agreements or other records the companies or persons that have sold them services, machines, equipment, tools, software, or technology valued at more than \$200.00 USD that they use in diamond manufacturing⁴;

7.1.3 Obtain a written warranty or representation in each contract with their suppliers of polished diamonds that the diamonds supplied to them do not infringe on the intellectual property rights of any third party and were not manufactured using processes, machines, equipment, tools, software, or technology that infringe on the intellectual property rights of any third party;

7.1.4. Obtain a written warranty or representation in each contract with their suppliers of diamond manufacturing services, machines, equipment, tools, software or technology stating that those services, machines, equipment, tools, software, or technology do not infringe on the intellectual property rights of any third party.

² "Infringe" in the context of intellectual property rights is the improper use or copying of a patent, invention, design, writing, graphic, or trademark without permission and/or without contracting for a payment of a royalty or licensing fee.

³ "Intellectual Property Rights" are the rights given to persons over the creations of their minds (such as copyrights, trademarks, patents, trade secrets, technology, and the like). They usually give the creator an exclusive right over the use of his/her creation for a certain period of time.

⁴ "Diamond Manufacturing" is the process of transforming rough diamonds into polished diamonds and includes all parts of the process comprising of (but not necessarily limited to) scanning, windowing, mapping, planning or marking the rough diamonds, cleaving, sawing, laser cutting, shaping, bruting, coning, treating, faceting, brilliantteering and polishing.

SRSP SILVER/PGM APPENDIX:

SRSP COMPLIANCE REQUIREMENTS FOR SILVER AND PLATINUM GROUP METALS ("PGMs"; platinum, ruthenium, rhodium, palladium, osmium and iridium)

Date: May 2018

The requirements in the SRSP apply to all silver and PGMs products (finished and components), and to all products containing silver and PGMs (including solder, plating and flashing, for example, rhodium flashing on silver or white gold), with the exception of watches.

Suppliers are required to undertake due diligence on all sources of supply of silver and PGMs, even if the quantity of these materials are small. There is no "de minimis"/minimum level of supply, so for such small volumes (e.g. of plated materials, repair solders), suppliers are required at a minimum to ask subcontractors to verify their sources of silver and PGMs, and this inquiry should be documented.

Suppliers are required to certify the silver and PGMs supplied to Signet, either by certification of all silver and PGMs manufacture and supply, or, if this is not possible, by segregating manufacture and supply of silver and PGMs to Signet from manufacture and supply of silver and PGMs to other customers.

The SRSP identifies the requirements for conflict-free silver and PGMs at all levels in the supply chain, as below:

1: Refineries

From January 1st 2018, the SRSP only accepts silver and PGMs from Refinery sources as follows:

- Silver and PGMs refiners which are certified or due to be certified for calendar year 2018 under the LBMA Responsible Sourcing programme including for silver and on the LBMA good delivery list (from calendar year 2018), see www.lbma.org.uk . Where these refineries also refine PGMs, it can be assumed that the LBMA standards also apply to these metals.

or

- Silver and PGMs refiners which certify and independently audit that all silver and PGMs supplies are responsibly sourced and "conflict-free", in accordance with one of the following guidelines/standards;
 - i. The MKS PAMP Group Responsible Precious Metals Guidance for silver and PGMs
 - ii. RJC Chain of Custody Standard for Precious Metals
 - (see www.responsiblejewellery.com/chain-of-custody-certification)
 - iii. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, Third Edition
 - (see www.oecd.org, search "conflict minerals")
 - Silver and/or PGMs refiner which are certified under SCS Global Services' "Responsible Source" Standard for Precious Metals (www.scsglobalservices.com/certified-responsible-source-jewelry)

or

- Silver and PGMs which is certified as recycled/scrap from previously manufactured sources (see "Scrap and Recycled Silver", section 5 below), from a refiner which certifies these recycled sources and which has public "Know Your Counterparty" procedures in place.

2: Banks

The SRSP only accepts silver and PGMs from Banks as follows:

- Banks which certify and independently audit that all silver and PGMs is supplied from refineries which fulfil the SRSP criteria under “Refineries” as above.

or

- Banks which certify and independently audit that all silver and PGMs supplies are conflict-free, in accordance with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, Third Edition

3: Precious Metals Trading Companies/Alloy/Solder/Plating Solutions Suppliers

The SRSP only accepts silver and PGMs from Precious Metals Trading Companies, Alloy Suppliers, Solder Suppliers and Suppliers of Plating Solutions as follows:

- Companies which certify and can demonstrate an independent audit that all silver and PGMs is supplied from refineries and/or banks which fulfil the SRSP criteria under “Refineries” and “Banks” as above.
- Companies which certify and independently audit that all silver and PGMs supplies are conflict-free, in accordance with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas, Third Edition
- SCS Global Services’ “Responsible Source” Standard for Precious Metals (www.scsglobalservices.com/certified-responsible-source-jewelry)

4: Subcontractors of Component Parts or Finished Products

Note: In accordance with Signet’s Supplier Code of Conduct, the same obligations and criteria will apply to subcontractors as apply to Signet’s direct suppliers. Suppliers will therefore need to pass on the requirements of the SRSP to all subcontractors.

SRSP only accepts silver and PGMs from Subcontractors of Component Parts or Finished Products as follows:

- Subcontractors which certify and independently audit that all silver and/or PGMs are supplied from refineries, banks and/or precious metals trading companies which fulfil the SRSP criteria under “Refineries”, “Banks” and “Precious Metals Trading Companies” as above, and scrap/recycled silver and PGMs as below.

or

- Subcontractors which certify and independently audit that all silver and PGMs supplies are responsibly sourced and “conflict-free”, in accordance with one of the following guidelines/standards;
 - i. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas (see www.oecd.org, search “conflict minerals”)
 - SCS Global Services’ “Responsible Source” Standard for Precious Metals (www.scsglobalservices.com/certified-responsible-source-jewelry)

5: Scrap and Recycled Silver and PGMs

The SRSP only accepts scrap and/or recycled silver and PGMs as follows:

- Suppliers which certify and independently audit that all scrap and recycled silver and PGMs are identifiable as its own production and supply, i.e. that the scrap silver and PGMs are;
 - i. Returned product from customers
 - ii. Faulty inventory
 - iii. Scrap and waste silver arising during manufacturing

or

- Suppliers which certify and independently audit that all scrap and recycled silver and PGMs are acquired according to Know Your Customer/Counterparty principles (“KYC”), which require businesses to establish the identity of all organisations with which they deal, have a clear understanding of their business relationships and have a reasonable ability to identify and react to transaction patterns appearing out of the ordinary or suspicious. KYC procedures may include;
 - i. Collection and analysis of basic identity information.
 - ii. Identification of ultimate beneficial owner.
 - iii. Name matching against lists of known parties.
 - iv. Determination of the supplier's risk in terms of propensity to supply silver from an area of conflict.
 - v. Assurances on human rights and labor practices.
 - vi. An expectation of a customer's transactional behavior.
 - vii. Monitoring of a customer's transactions against their expected behavior and recorded profile.

or

- Companies which certify and independently audit that all silver and PGMs supplies including recycled sources are responsibly sourced and “conflict-free”, in accordance with one of the following guidelines/standards;
 - i. OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas (see www.oecd.org, search “conflict minerals”)
 - ii. LBMA Responsible Silver Guidance for silver from refiners on the LBMA good delivery list (anticipated from calendar year 2018), see www.lbma.org
 - iii. The MKS PAMP Group Responsible Precious Metals Guidance for silver
 - iv. SCS Global Services’ “Responsible Source” Standard for Precious Metals (www.scsglobalservices.com/certified-responsible-source-jewelry)

6: “Grandfathered” Silver and PGMs

The SRSP accepts silver and PGMs in any form from any of the sources listed above, which is then held by suppliers, banks, refiners, metals trading companies, scrap suppliers or subcontractors and which has a verifiable date prior to **January 1 2018**.

A verifiable date is one which can be verified through inspection of physical date stamps on products such as silver and/or PGM bars, jewellery hallmarks and/or auditable inventory lists which are specific to the individual item of silver or PGMs, the component, subcomponent or finished item of jewelry.

7: Exceptions

Exceptions to the SRSP standards listed above may be made on a case-by-case basis. In all such cases, suppliers will be expected to identify and certify the sources of silver and PGMs, preferably to the refinery, and validate why these sources should be determined as conflict-free and otherwise compliant with the SRSP for silver and PGMs. All exceptions must be confirmed in advance and in writing by Signet, and an external assessment and/or independent audit of this validation may be required.

SRSP COLORED GEMSTONES APPENDIX:

Date: January 2019

Note: Suppliers are required to understand the requirements of the Colored Gemstones Appendix in calendar year 2019, and work towards full compliance by 2020.

SRSP COMPLIANCE REQUIREMENTS FOR NATURAL COLORED GEMSTONES

1. Introduction

The SRSP is designed to ensure that all Signet jewelry materials are responsibly sourced. This SRSP appendix builds upon the Signet Responsible Sourcing program to include gemstones from the corundum and beryl families: ruby, sapphire and emerald.

The SRSP is risk-based and requires Signet Suppliers to use due diligence to identify and mitigate risks which may be found in their supply chain. The primary risks relate to country of origin, labor practices and undisclosed treatments.

Some gemstones are associated with human rights violations or conflict⁵, and there are legal importation restrictions applicable to gemstones from certain countries. Therefore Signet requires that Suppliers:

- maintain records documenting the original source (producer company, mining region, and country of origin) wherever this information is available; and
- have written policies requiring original source information from their suppliers wherever this information is available.

Disclosure of treatments is also a fundamental requirement of the SRSP. While treatments are widely used in the gemstone industry and many are regarded as normal practice, this fact does not absolve the gemstone trade from their responsibility to disclose. This responsibility is especially important where treatments may affect the value or durability of a gemstone.

2. Scope

The SRSP applies to all-natural ruby, sapphire and emerald gemstones supplied to Signet. The scope of the SRSP may be expanded to include other natural gemstones in the future, following Signet's risk based approach. The SRSP also includes disclosure requirements for laboratory-grown/created gemstones (LGGs).

3. Requirements

- 3.1 Suppliers must ensure that gemstones supplied to any Signet division are always accurately described to the buyer and in associated documentation (See also 3.7).
- 3.2 Suppliers must ensure that natural gemstones are always segregated from LGGs.
- 3.3 Suppliers of natural gemstones must undertake testing to ensure the stones are natural and to detect treatments, prior to supplying Signet. Suppliers must have written testing protocols and maintain test records.

⁵ See OECD Due Diligence Guidance.

- 3.4 Where Suppliers use a sample testing approach, testing must be undertaken on an Average Quality Limit (AQL) basis (reference ISO 2859-1), and must be performed by qualified gemological personnel, in-house or outsourced to a gemological laboratory.
- 3.5 All Suppliers must employ a documented inventory management system which documents their chain of gemstone ownership and can be verified by audit.
- 3.6 In accordance with Signet's Supplier Code of Conduct, the same obligations and criteria that apply to Signet's direct suppliers will also apply to subcontractors. Suppliers will therefore need to pass on the requirements of this document to all subcontractors.
- 3.7 All Suppliers must always disclose all treatments
- 3.8 All Suppliers must disclose that a gemstone is laboratory grown/created, manufactured or composite product.
- 3.9 Suppliers should apply the treatments nomenclature set out in the **American Gem Trade Association Gemstone Information Manual (15th Edition)**, [available here](#).
- 3.10 Suppliers should comply with the **US Federal Trade Commission Jewelry Guides (2018 Edition)**, [available here](#).
- 3.11 Signet will not accept any gemstones mined in Myanmar/Burma. Suppliers must take robust and documented action to ensure that no material mined in Myanmar is supplied to Signet. As a minimum Suppliers must communicate this requirement in writing to their suppliers.

4. Minimum Compliance

4.1 Suppliers must evidence compliance across all Categories (Clause 6) as follows:

- 4.1.1 An inventory management system;
- 4.1.2 Sale & purchase documents;
- 4.1.3 Documented KYC due diligence system;
- 4.1.4 A written policy statement and standard terms of business with all suppliers (See also 5.5).

5. Definitions

5.1 The SRSP adopts the definitions of gemstones, artificial products and treatments in the CIBJO Gemstone Book. See in particular Sections 4 and 5.

5.2 The "source of gemstones includes:

- rough – direct producer
- rough – secondary market/open market
- polished – various suppliers
- recycled goods and repairs

- finished gemstone jewelry and other products including watches

5.3 “Identified and verified” sources include:

- Industrial or artisanal producers that provide information about the original source of gemstones and the standards of their operations.
- Secondary market rough or polished gemstone suppliers that provide information about original sources as far as possible.
- Polished suppliers who manufacture in facilities under their direct control or outsourced to identified subcontractors.
- Suppliers of used or recycled gemstones.

5.4 “Original Source” means the mine or country of origin.

5.5 Management systems designed to deliver continuous improvement will be evidenced by a policy statement contained in the standard Terms of Business agreement between a Signet Supplier and their suppliers. The policy statement should state, inter alia, that all treatments must be fully disclosed to the Supplier and the original sources of colored gemstones must be disclosed to the Signet Supplier wherever possible

6. Categories

Signet suppliers must identify all colored gemstones they supply to Signet by reference to any or all of the Categories set out below.

- Category 1. Single Stone Tracking or Parcel Tracking: Individual gemstones or parcels of gemstones supplied by or sourced from producers and suppliers as defined in 5.4.
- Category 2. Mixed Sources: This category allows for the mixing of gemstones deriving from a number of different sources, with some percentage of the gemstones deriving from original sources. Recycled gemstones should be included here.

SRSP HUMAN RIGHTS APPENDIX:

SRSP COMPLIANCE REQUIREMENTS FOR THE RESPECT AND PROTECTION OF HUMAN RIGHTS

Date: May 2018

The requirements in this Human Rights Appendix apply to all Signet suppliers of jewelry (components and/or finished jewelry).

Universal human rights are often expressed and guaranteed by law, in the forms of treaties, customary international law, general principles and other sources of international law. The most well-known international human rights instrument is the Universal Declaration of Human Rights (UDHR), adopted by the United Nations General Assembly in 1948. The UDHR is considered to be a central component of international customary law, along with the International Covenant on Civil and Political Rights (CCPR) and the International Covenant on Economic, Social and Cultural Rights (CESCR). Together these form the International Bill of Human Rights.

The UN Guiding Principles on Business and Human Rights (also known as the “Ruggie Principles”) were adopted in 2011 and have become the primary reference for the private sector’s responsibility to respect human rights.

The UN Guiding Principles recognise that companies have a responsibility to respect the rights outlined in them. Coupled with these UN instruments, the International Labour Organisation (ILO) has identified fundamental labour principles in its Declaration on Fundamental Principles and Rights at Work. These rights are directly addressed in the RJC Code of Practices in the following provisions: Child Labour, Forced Labour, Freedom of Association and Collective Bargaining and Non-Discrimination.

The Guiding Principles define respecting human rights as:

- a. Avoid causing or contributing to (e.g. causing in part) adverse human rights impacts through their own activities, and address such impacts where they occur; and
- b. Seek to prevent or mitigate adverse human rights impacts that are directly linked to their operations, products or services by their business relationships, even if they have not contributed to those impacts.

The UN Guiding Principles on Business and Human Rights is the basis for Signet’s policy.

Suppliers shall respect Human Rights and observe the UN Guiding Principles on Business and Human Rights in ways appropriate to their size and circumstances, including as a minimum;

1: A policy commitment to respect Human Rights,

The policy statement can be a stand-alone policy or incorporated in the supplier’s general policies and procedures. The policy statement should be;

- i. Approved at senior levels of the company;
- ii. Informed by internal and/or external expertise, as appropriate;
- iii. Clear on expectations of employees, contractors and business partners;
- iv. Publically available and communicated externally;
- v. Reflected in operational policies and procedures

2: Include measures in the supplier’s due diligence process that seek to identify, prevent, mitigate and account for how they address their impacts on Human Rights,

Human rights due diligence practices;

- i. Should cover adverse human rights impacts that the business enterprise may cause or contribute to through its own activities,
- ii. Should seek to address adverse human rights impacts which may be directly linked to its operations, products or services by its business relationships;
- iii. Will vary in complexity with the size of the business enterprise, the risk of severe human rights impacts, and the nature and context of its operations;
- iv. Should be regularly updated, for example when starting a significant new activity or business relationship, recognizing that the human rights risks may change over time.

3. Where suppliers identify that they have caused or contributed to adverse Human Rights impacts, they shall provide for or cooperate in legitimate processes to enable the remediation of those impacts.

4. Suppliers due diligence on their supply chains should also verify that their own suppliers also follow these minimum Human Rights requirements.

Suppliers' policies and practices relating to the respect and protection of Human Rights should follow the following international standards, recognized by Signet;

1: Social Accountability International's (see www.sa-intl.org) SA 8000 standard (see [www.sa-intl.org/_data/global/files/SA8000Standard2014\(3\).pdf](http://www.sa-intl.org/_data/global/files/SA8000Standard2014(3).pdf)) and/or

2: RJC Code of Practices standard's section on Human Rights (see www.responsiblejewellery.com/files/RJC_Standards_Guidance_2013_eng.pdf).