

Public-Private Alliance for Responsible Minerals Trade

Expression of Intent

This form may be used to indicate interest of a company, agency, or organization in joining the Public-Private Alliance for Responsible Mineral Trade (PPA). The U.S. Department of State (USDoS), U.S. Agency for International Development (USAID), and other prospective PPA Participants understand that completing this expression of intent does not represent a final commitment or any binding obligation, and is contingent upon the respondent's approval of the PPA Memorandum of Understanding, due diligence,¹ and other reviews deemed necessary by the respondent.

Please review this document and send the completed, signed form to Taylor Kennedy, RESOLVE, tkennedy@resolv.org.

Process for Prospective Participants

The steps for organizations interested in joining the PPA include the following:

1. Prospective Participants should send RESOLVE a completed, signed expression of intent. (Please see "Schedule for Review of Prospective Participants" below.)
2. USAID and USDoS will conduct a "due diligence" process (outlined in the "What is Due Diligence" attachment). Essentially, this is a vetting process and review of publicly available information to make sure that PPA participants are aligned.
3. Concurrent to due diligence (step 2), prospective Participants should review the PPA Memorandum of Understanding (MOU) and prepare to sign this document.
4. Following USAID and USDoS due diligence, RESOLVE will notify current PPA members of new prospective Participants that have cleared the due diligence process, allowing a one-week window to share questions. Any questions from current Participants will be raised for discussion with the relevant prospective Participant.
5. Concurrent to notification of all PPA Participants of prospective Participants (step 4), prospective Participants should also ensure they are aware of current PPA Participants and other prospective Participants, confirming mutual comfort of association.
6. Status as a PPA Participant is contingent upon the above steps as well as receipt by RESOLVE of a signed MOU.

Please note that, as described above, prospective Participants may be discussed within the PPA Governance Committee and the PPA Membership and Fundraising Work Group. Public

¹ Due diligence related to reputational risk of association with other Participants is understood to be a requirement by some Participants and may be conducted at inception of the MOU, on an on-going regular basis, and as the need arises. All Participants intend to respect each other's requirements in this regard and to communicate in a timely manner to expedite the process for all other Participants, and to provide reasonable information to assist other Participants' due diligence while respecting confidentiality and proprietary disclosure requests and rights.

announcement by the Facilitator or listing on the PPA website of a new Participant will not take place until the completion of due diligence, confirmation of intended financial contribution, and receipt of a signed MOU.

Schedule for Review of Prospective Participants

The PPA will have one due diligence “round” every four months of the calendar year (i.e., January-April, May-August, and September-December).

The approximate schedule and deadlines for entering the due diligence process for each quarter are as follows:

Action	First Round	Second Round	Third Round
Complete, signed Expression of Intent received by RESOLVE from prospective Participant	By January 1	By May 1	By September 1
Due diligence process (USAID and USDoS); current and prospective Participant mutual vetting	January-April	May-August	September - December
Prospective Participant signing of MOU	April - May	August-September	December-January
Finalization of participation; announcement on PPA website	May (or upon receipt of signed MOU)	September (or upon receipt of signed MOU)	January (or upon receipt of signed MOU)

Information and Signature Requested from Prospective Participants

Please share the following information to assist with the due diligence process and confirmation of eligibility.

Organization Name(s)	
Organization branding info (e.g., Corp., Inc., LLC, LLP, NGO)	
Headquarters Address	
Dun & Bradstreet Number (DUNS)	
Is the organization	

primarily operating, headquartered, or registered in the United States? (Y/N)	
Organization Website	
Purpose for joining PPA	
Financial Pledge²	
Contact Name	
Contact Title	
Contact Email	
Contact Phone	

My organization acknowledges the steps and schedule summarized in this document and wishes to express intent to join the Public-Private Alliance for Responsible Minerals Trade.

Signature of Representative/Contact*	Date

*If you do not have a digital signature, please print, sign, scan and return to tkennedy@resolv.org.

² As indicated in the PPA Protocols, individual companies and for-profit professional service organizations have a minimum expected commitment of \$25,000.00; associations have a minimum expected commitment of \$125,000.00. Funding (equal to or greater than the corresponding minimum commitment level) is due to the PPA funding pool managed by the Facilitator within 90 days of official commitment and signing of the MOU, unless other arrangements are made with the Facilitator, with official commitment to be determined by the individual organization in its sole discretion. Those entities committing above the minimum may choose to pay remaining expected committed funds (in excess of the corresponding minimum) at a later time. Participants may make additional funding commitments in subsequent years. Subsequent funding is not required and may be determined and announced periodically, as agreed on by individual funders, with consultation of other Participants.