



FORM 1: SUPPLIER/CONSULTANT DUE DILIGENCE QUESTIONNAIRE

References to "you" or "your" throughout this Questionnaire include (a) you personally if you are transacting with Vale in your individual capacity, or (b) the business with which you are affiliated if you are transacting with Vale through such an entity (also referred to as the "**Business Entity**").

General Information

1. Please provide your full name and the name of any business entity, in whatever corporate form, with which you are affiliated in connection with work that you may perform for Vale:

2. Please list your contact information, including business address, telephone, fax, e-mail and website (if available):

3. Please briefly describe your experience in the industry relevant to your proposed engagement with Vale:

Individuals

*If you operate as an **INDIVIDUAL** in transacting with Vale, please answer the following questions (if you operate as part as a Business Entity in transacting with Vale, please skip to **question 8**):*



4. Please identify if you (currently or previously) are a Government Official¹:

Government Position and Duties	Dates Position Held

5. Do you have any existing business partnerships or affiliations with Government Officials or Government Authorities²? If yes, please explain:

¹ **"Government Official"** means: (i) anyone who, albeit on a temporary basis and with no compensation, occupies a position, is employed by, or exercises a public function in government entities, legal entities controlled directly or indirectly by public entities, be them national or foreign; (ii) an employee, officer or representative of, or any person otherwise acting in an official capacity for or on behalf of, a Government Authority (as defined above); (iii) a member of an assembly or a committee, or employees engaged in the performance of public duties in accordance with applicable laws and regulations; (iv) a legislative, administrative, or judicial official, regardless of whether elected or appointed; (v) an officer of, or individual who holds a position in, a political party; (vi) a candidate for political office; (vii) an individual who holds any other official, ceremonial, or other appointed or inherited position with a government or any of its agencies; (viii) an officer or employee of an international organization (including, without limitation, the World Bank, United Nations, International Monetary Fund and OECD); (ix) a person who is, or holds himself out to be, an intermediary acting on behalf of a government official; or (ix) a person who, although not a public officer, is determined by applicable legislation to be equivalent to a public officer

² **"Government Authority"** means (a) a Governmental Entity; (b) an instrumentality, board, commission, court, or agency, whether civilian or military, of any Governmental Entity, however constituted; (c) an association, organization, business or enterprise which is owned or controlled by a Governmental Entity; or (d) a political party. **"Governmental Entity"** means any supra national organization, national, state, municipal or local government (including any court, administrative agency or commission or other governmental authority) or any arbitrator or any quasi-governmental or private body exercising any regulatory, judicial or other governmental or quasi-governmental powers.



6. Have you or any company that you controlled ever been declared insolvent or filed for bankruptcy? If yes, please explain:

7. Have you ever been accused of or convicted for violations of any Anti-Bribery Laws³ or other relevant laws and regulations regarding integrity?

Business Entities

*If you operate as part of a **BUSINESS ENTITY** in transacting with Vale, please answer the following questions (if you operate as an Individual, please skip to **question 13**):*

8. Please describe the legal structure of the Business Entity (*e.g.*, Corporation, Partnership):

9. Please identify any Beneficial Owner⁴ of the Business Entity that is a Government Authority:

Name	Title	Government Duties

³ "**Anti-Bribery Laws**" means the US Foreign Corrupt Practices Act (15 U.S.C. §78-dd-1, et seq., as amended), Brazilian Law # 12,846/2013, as well as any other anti-bribery law, anti-corruption law, conflict of interest law, and any other applicable law, rule or regulation of similar purpose and effect applicable to Vale.

⁴ A "**Beneficial Owner**" is the person to whom the benefits of ownership of an interest in the Business Entity accrues, even though the interests in the Business Entity might be held by, or in the name of, another person or held in an account over which another person has investment discretion.



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10. Please identify each officer, director, employee or Beneficial Owner of the Business Entity (collectively, "**Principal**"), or any immediate family member of a Principal, who is a Government Official:

Name	Relationship with Business Entity or Principal	Government Position and Duties

11. Has the Business Entity ever been declared insolvent or filed for bankruptcy? If yes, please explain:

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12. Has the Business Entity or any of its Affiliates, Principals, Parents or Sister Companies ever been accused of or convicted for violations of any Anti-Bribery Laws or other relevant laws and regulations regarding integrity?

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13. Please identify any consultants, representatives, agents, brokers, or other intermediaries ("**Intermediaries**") that you anticipate engaging in connection with your proposed engagement with Vale:

Name and Address (if Company) or Citizenship (if individual)	Relationship with the Business Entity	Is the Intermediary a Government Official?	Terms of Compensation (e.g., if the Intermediary is paid a commission)



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14. With respect to each such Intermediary, please provide the following information for each of its Principals:

Name of Principal	Government positions (if any) held by the Principal

Certification

I certify that:

1. I am duly authorized to make this certification on behalf of _____ and have personal knowledge regarding the subject matter of this certification.
2. After appropriate inquiry, the information provided in this Questionnaire response is accurate and complete in all material respects.

I agree that if subsequent developments cause the information reported herein to be no longer accurate or complete, I will immediately so notify [Vale entity].

Submitted by:

Signature: _____

Name: _____

Title: _____

Date: _____