

Know Your Customer (KYC) (EDD for Corporates)

Guidance Questionnaire:

1. COMPANY DETAILS	
a. Name	
b. Registered Address	
c. Business Address	
d. Phone Number	
e. Date of Incorporation	
f. Country of Incorporation	
g. Business Registration Number	
h. Tax Identification/Registration number	
i. If listed, indicate name of stock exchange(s) and ticker	
j. Website	
How many direct and indirect subsidiaries does the company have?	

2. BUSINESS ACTIVITY	
a. Type of Business	
b. Description of core business activity	
c. Does the company hold a license to conduct its business (es)? Please provide a copy(ies)	
d. Main Market	

3. BENEFICIAL OWNERS

SHAREHOLDER(S)

Percentage Holding (%)	Name	Address	PEP Status	Country of Incorporation/ Nationality	Date of Incorporation/ Date of Birth

ULTIMATE BENEFICIAL OWNER

Percentage Holding (%)	Name	Address	PEP Status	Nationality	Date of birth

AUTHORIZED SIGNATORY LIST

Name	Passport number	Nationality	PEP Status	Specimen Signature

LETTER OF AUTHORIZED

Undertaking for Business transaction: We are hereby authorizing the following on behalf of our company and to sign the necessary transaction Vouchers. His/her original identity documents will be produced by him /her at the time of transaction

Name of the Employee	ID Details of the employee	Specimen Signature

4. MANAGEMENT STRUCTURE

a. Board of Directors				
b. Management				

5. BANK DETAILS

Account Name	
Bank Address	
IBAN	

6. CONTACT PERSON

Name	Designation	E-mail	Phone
Transaction's confirmations should be sent to following emails			
E-mail 1			

7. FACILITIES

	YES	NO	N/A
a. Does the Company have any melting or refining facilities?			
b. Does the Company have any manufacturing facilities?			
c. Does the Company produce its own jewellery?			
d. What are the types, forms and percentage of precious metals sourced by the Company			
☐ Recycled precious metals (% _____)			
☐ LBMA GD Bullion ☐ Non LBMA Good Delivery Bullion (Au =>995 / AG =>9999)			
☐ Rudimentary Bars ☐ Jewellery ☐ Broken jewellery			
☐ Coins ☐ Collected waste ☐ Others, please specify			

☐ Primary material – mined precious metals (% _____)
e. What type of precious metals is the Company planning to send for refining? ☐ Gold ☐ Others, please specify: _____
f. What is the form of precious metals planned to be sent for refining? ☐ Unprocessed recycled precious metals ☐ LBMA GD Bullion ☐ Non LBMA Good Delivery Bullion (Au =>995 / AG=>9999) ☐ Broken jewellery ☐ Coins ☐ Jewellery ☐ Others, please specify: _____ ☐ Own production waste ☐ Collected waste ☐ Others, please specify: _____
☐ Melted recycled precious metals ☐ Rudimentary Bars (undefined dimension and fineness) ☐ Others, please specify: _____

8. PRECIOUS METALS SUPPLIERS DUE DILIGENCE QUESTIONNAIRE	YES	NO	N/A
1. Does the Company perform enhanced due diligence for high-risk precious metals supplier			
2. Does the Company assess its corporate precious metals suppliers' AML-CFT and purchase procedures and practices			
9. TRANSACTIONS MONITORING	YES	NO	N/A
1. Does the Company perform a risk-based assessment to understand the normal and expected transactions of its suppliers (in order to identify the unusual transactions)?			
Does the Company have a monitoring program for unusual and potentially suspicious activity that covers funds transfers and monetary instruments (e.g., traveler's cheques) or third-party payments?			
Does the Company have to register all purchases and sales?			

ATTACHMENT – TO BE FILLED IN ONLY FOR COMPANY SUBJECT TO AML-CFT REGULATION

Wolfsberg Anti-Money Laundering Questionnaire

Corporate Name:

Location:

If you answer “no” to any question, please ensure that an explanation and additional information is supplied at the end of the relevant section

1. General AML Policies, Practices and Procedures:	Yes	No
1. Is the AML compliance program approved by the Corporate’s board or a senior committee?		
2. Does the Corporate have a legal and regulatory compliance program that includes a designated Compliance officer that is responsible for coordinating and overseeing the AML framework?		
3. Has the Corporate developed written policies documenting the processes that they have in place to prevent, detect and report suspicious transactions?		
4. In addition to inspections by the government supervisors/regulators, does the corporate client have an internal audit function or other independent third party that assesses AML policies and practices on a regular basis?		
5. Does the Corporate have a policy prohibiting accounts/relationships with shell banks? (A shell bank is defined as a bank incorporated in a jurisdiction in which it has no physical presence, and which is unaffiliated with a regulated financial group).		
6. Does the Corporate have policies to reasonably ensure that they will not conduct transactions with or on behalf of shell banks through any of its accounts or products?		
7. Does the Corporate have policies covering relationships with politically exposed persons (PEP’s), their family and close associates?		
8. Does the Corporate have record retention procedures that comply with applicable law?		
9. Does the Corporate require that its AML policies and practices be applied to all branches and subsidiaries of the corporate both in the home country and in locations outside of the home country?		

DOCUMENTS REQUIRED

Please provide certified copies of the following documents

1. Business Registration

2. Certificate of Incorporation

3. Latest Annual Financial Statements

4. Cancelled Company Letterhead

5. Proof of Registered Physical Address

6. Memorandum and Articles of Association (If Applicant is an incorporated company)	
7. VAT Registration Certificate	
8. Board Resolution in respect of trading limits / signing authorities	
9. Details of Beneficial owner – Passport, ID etc.	
10. Permit / Licenses	
11. Bank Details	
12. Corporate Tax Certificate	
13. AML/CFT Policy	
14. AML Registration Details	

Space for additional information (Please indicate which question the information is referring to):

ACKNOWLEDGEMENT AND DECLARATION

I/We [the client] hereby acknowledge and declare by our signature to this document that:

1. I/We am/are aware of and will abide by all local regulatory requirements relating to compliance, anti-money laundering, terrorist financing and dealing in conflict minerals.
2. I/We am/are not involved or engaged either directly or indirectly with any form of illegal activities relating to the conduct of my metals business with my/our clients or associates or counterparts.
3. All information provided by me/us in this application is true and accurate.

SIGNATURE

I hereby declare that the information given above is true and accurate as of the date of writing.

I undertake to automatically inform **Company Name**..... of any material changes.

	Authorised Signatory
Signature:	
Print Name:	
Title:	
Company Name	
Date and location:	