



Account Opening Application & KYC FORM

Suppliers

(To Be Filled Out Separately For Each Legal Entity)

TYPE OF BUSINESS	Government Entities	Financial Institutions
	Member of Borsa Istanbul Precious Metals Exchange	Corporate - Gold Trading Experienced a. Trading Company b. Mining Company
	Corporate - No Gold Trading Experience	Service Providers
	Other; please specify:	

1. COMPANY DETAILS

a. Legal Name	
b. Country of incorporation	
c. Registered Business Address	
d. Business registration number <i>(if applicable)</i>	
e. Registered phone number	
f. Tax Identification/Registration number <i>(if applicable)</i>	
g. Number of Employees	
h. Years of Precious Metals Trading Experience	
i. If listed, indicate name of stock exchange(s) and ticker symbol	
j. Website address	

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2. BUSINESS ACTIVITY

a. Description of core business activity

b. Category for Mined Gold Suppliers

Aggregator

Mine Owner

Export Service Provider

3. MANAGEMENT STRUCTURE *(List names of Directors/Key Senior Management below)*

Name

Job Title

Nationality(ies)

Date of birth

4. BENEFICIAL OWNERS: CORPORATE SHAREHOLDER(S) MORE THAN 25%

Percentage Holding (%)

Legal Name

Country of incorporation

Date of incorporation

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BENEFICIAL OWNERS: INDIVIDUAL SHAREHOLDERS OF MORE THAN 10%

(Ultimate Beneficial Owners holding >25% are required to supply ID & Address verification documents)

Percentage Holding (%)	Name	Address	Date of birth

5. BEARER OR NOMINEE SHARES

YES NO

Are there any bearer shares or nominee shareholders within the corporate structure?

▶ If yes, please provide details below:

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6. AUTHORIZED SIGNATORIES CONTACT DETAILS

CONTACT 1

Full Name

Job Title

Phone / Mobile Number

Email Address

CONTACT 2

Full Name

Job Title

Phone / Mobile Number

Email Address

7. POLITICALLY EXPOSED PERSONS

YES

NO

a. Do any of the individuals listed in 3 and 4 above falls within the definition of a politically exposed person under the UK Money Laundering Regulations 2007?

<http://www.legislation.gov.uk/ukxi/2007/2157/regulation/14/made>

▶ If yes, please provide details below:

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	YES	NO
b. Does your company supply precious metals which originates from Politically Exposed Persons?		
<p>▶ If yes, please provide details below:</p>		

BANKING DETAILS	
Account Owner Full Legal Name	
Account Number / IBAN	
Bank and Branch Information	
Bank Address	
Bank SWIFT Code	

REGULATORY ENVIRONMENT <i>(If selected yes, please specify the regulation and authority name)</i>	YES	NO
Does your Company need to comply with detailed health and safety Regulations in the country/province of operations?		
Does your Company need to comply with detailed environmental Regulations in the country/province of operations?		
Are crimes against human rights (such as worst forms of child labor, forced labor, etc) as detailed in the OECD Guidance regulated in mining activity in the country/province of Operations?		
Is the use of public security forces on or around the mine site regulated?		
Is your company subject to Anti-Money Laundering / Combating financial terrorism Law/Regulation?		

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8. PRECIOUS METALS SUPPLIERS DUE DILIGENCE QUESTIONNAIRE

8.1. ANTI MONEY LAUNDERING (AML) & COMBATING FINANCIAL TERRORISM (CFT)

Organisation	YES	NO	N/A
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a. Does your Company have a person responsible (Compliance Officer) for all AML-CFT matters (Due Diligence, AML policies, internal training)?

▶ If yes, please provide us with his/her name, phone number and e-mail address below:

b. Is your Company subject to an AML-CFT audit by an independent party or government agency?

▶ Date of your last AML-CFT compliance audit:

c. Does your Company have an AML-CFT training for the employees?

Policy

Has your Company established a conformity program that contains AML/CFT policies and procedures, according to internal & international laws, rules and standards?

Yes - Please provide a copy

No

▶ If no formal policy document, please describe your firm's approach to AML/CFT matters:

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9. ORIGIN OF PHYSICAL PRECIOUS METALS

a. Profile of your precious metals' suppliers

% Individual:

% Company:

b. Country (ies) of origin of precious metals sourced

c. Country (ies) of destination of precious metals exported after refining

d. What are the types, forms and percentage of precious metals sourced by your Company (as applicable)

1. Recycled precious metals (%.....)

LBMA GD Bullion

Non LBMA Good Delivery Bullion (Au =>995 / AG =>9999)

Dore

Jewellery/Scrap

Others, please specify:

2. Primary material - mined precious metals (%.....)

Large scale mining (>100'000 Oz/year)

Medium scale mining (30-100'000 Oz/year)

Small scale mining (<30'000 Oz/year)

Others, please specify:

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9.1 ANTI-BRIBERY POLICY

<p>Does your Company have an anti-bribery policy in place?</p>	<p>Yes - Please provide a copy</p> <p>No</p>
<p>▶ If no formal policy document, please describe your firm's approach to Anti-Bribery matters:</p>	

9.2 RESPONSIBLE SOURCING PRECIOUS METAL POLICY

<p>a. Did your Company establish a responsible supply chain of gold from conflict-affected and high-risk areas policy which is consistent with the relevant OECD Due Diligence Guidance?</p>	<p>Yes - Please provide a copy</p> <p>No</p>				
<p>b. If no formal policy, please describe how your Company complies or plans to comply with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas ("OECD Guidance")?</p>					
<p>c. Is your Company complying in any of the following industry initiatives?</p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; text-align: center;">LBMA Responsible Gold Guidance</td> <td style="width: 50%; text-align: center;">WGC Conflict Free Gold Standard</td> </tr> <tr> <td style="text-align: center;">RJC Chain of Custody Standard</td> <td style="text-align: center;">Conflict Free Smelter (CFS) Program</td> </tr> </table> <p>Additional comments:</p> <p>Others, please specify:</p>		LBMA Responsible Gold Guidance	WGC Conflict Free Gold Standard	RJC Chain of Custody Standard	Conflict Free Smelter (CFS) Program
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9.3 PRECIOUS METALS SUPPLIERS DUE DILIGENCE

What type of information does your Company request from its precious metals suppliers (tick those which apply)?

Companies	Individuals
Company name	Name and first name
Address	Address
Date of incorporation	Date of birth
Country of incorporation	Nationality
Business register extract or equivalent document	Copy of ID card or passport
Beneficial owners	Origin of precious metals
Origin of precious metals	Supplier profile (activity, wealth, etc.)
Description of main activity and financial information	

9.4 MONITORING

YES

NO

Does your Company screen precious metals suppliers and transactions against lists of banned persons, entities or countries issued by government/competent authorities?

Does your Company perform enhanced due diligence for high risk precious metals suppliers?

Does your Company take steps to understand their corporate precious metals suppliers' AML-CFT and purchase procedures and practices?

Does your Company take steps to understand the origin of precious metals, normal and expected transactions of its suppliers (in order to identify the unusual transactions)?

Does your Company have a procedure in place to prevent, detect and report suspicious transactions from its suppliers to a relevant Authority?

Is your Company required to register all purchases and sales?

▶ If yes, with which body are they registered with?

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		YES	NO
Has your company made any payments to governments, government officials, military or armed groups for the purposes of trade, transport and export of precious metals?			
▶ If yes, please provide details:			

What usual payment method does your Company use to pay its precious metals suppliers?	Payment type	Percentage (%)
	Bank transfers	
	Cheques	
	Cash	

Comments / Additional information:
 (please indicate which question the information is referring to)

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Additional Documents Required to be Submitted		
Document	Description	Form
License(s)	Where available. Eg. Precious Metals license etc...	Notarized and Apostilled with Certified Translation into English or Turkish
Tax ID Certificate	A document certifying the Tax residency and number of the company in question.	Notarized and Apostilled with Certified Translation into English or Turkish
Certificate of Incorporation and/or Company Registry Extract issued by the Chamber of Commerce or Equivalent	Corporate establishment document	Notarized and Apostilled with Certified Translation into English or Turkish
Memorandum & Articles of Association	Latest Charter or other similar document with all the amendments included	Notarized and Apostilled with Certified Translation into English or Turkish
List of authorized signatures and with a copy of Power of Attorney and Signature Circular	Must contain signature samples and signage capacity and authority.	Notarized and Apostilled with Certified Translation into English or Turkish
Passport/ID's copies of Representative(s) and / or Beneficial Owners	Must be a valid ID document that includes photograph, number, issuing date, and country of issuance, date of birth and signature specimen.	Notarized and Apostilled with Certified Translation into English or Turkish
Resolution of the board of directors	Resolution of the board of directors or other documents authorizing the opening of an account and the execution of transactions between the company and DD Metals DMCC	Notarized and Apostilled with Certified Translation into English or Turkish
Power of Attorney	PoA for any Attorney that will be signing any document with DD Metals DMCC.	Notarized and Apostilled with Certified Translation into English or Turkish
Latest Audited Financial Statements		Scan copy Signed and dated by an Authorized signatory

What is an Apostille:

- a. An Apostille is a certificate issued by a designated authority in a country where the Hague Convention Abolishing the Requirement for Legalization of Foreign Public Documents, Apostille Convention, is in force. When properly filled in, it will certify the authenticity of the signature, the capacity in which the official signing the public document has acted and, where appropriate, the identity of the seal or stamp which this document bears.

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- b. Each country party to the Hague Convention designates an authority within its territory that can issue apostilles. Please bear in mind that there are some countries which have not signed the Hague Convention and thus no apostilles can be obtained from these countries. In such cases, we will discuss, on a case by case basis, what form of certification will be acceptable to replace apostille.

DECLARATION

- I/We hereby state and declares that all the information supplied in this document is true, correct and valid as of the time of signing.
- I/We hereby confirm that we do not conduct any business activity with any individual and entities that are currently subject to international sanctions such as UN, EU and USA.
- I/We hereby confirm that we do not source precious metals from any counterparty that provides direct or indirect support of any form to non-state armed groups.
- I/We hereby confirm that we do not source precious metals from suppliers who either directly or indirectly contribute to, or assist with or facilitate the following:
 - ▶ Human rights abuses and crimes such as widespread sexual abuses, etc
 - ▶ Forced labour and worst forms of child labour
 - ▶ War crimes, genocide and other serious violations of the International Humanitarian Law
 - ▶ Environmental abuses
- I/We hereby state and declares that they will automatically inform DD Metals DMCC within one month in writing should of any changes to the above.
- I/We hereby accept that, DD Metals DMCC will consider that all data supplied on this form is valid until declared otherwise in writing by Applying Party.
- I/We hereby accept that, DD Metals DMCC; in its sole discretion, can suspend and/or cancel all account activity with immediate effect should it find out that the information shared in this form is not valid or correct.
- I/We hereby undertake to indemnify and keep fully indemnified DD Metals DMCC against any costs (including all legal costs), expenses, loss or liability suffered as a result of or in connection with any inaccuracy of any information, representation and warranties given by itself.

	Authorized signatory	Authorized signatory
Signature:		
Print Name:		
Title:		
Date and location:		

signature

