



**AUSTRAL**

INTERNATIONAL

**CORPORATE KYC FORM**

Dear Valued Customer,

It was a pleasure doing business with you.

**AUSTRAL INTERNATIONAL DMCC** is fully committed to abiding the UAE laws and regulations regarding **Know Your Customer (KYC)** obligations. The implemented laws prevent money laundering, financing of terrorism and limit the use of cash to process your personal data.

We are obliged to identify our clients and verify the identification documents received when entering in a business relationship or executing a transaction.

Therefore, please provide us the requested documentation.

## 1. COMPANY DETAILS

<b>Name</b>	
<b>Registered Address</b>	
<b>Phone No.</b>	
<b>Website</b>	
<b>Email</b>	
<b>Business Activities</b>	
<b>Country of Incorporation</b>	
<b>Incorporation Date</b>	
<b>Business License Number</b>	
<b>VAT Certificate No.</b>	
<b>External financial Auditors since date</b>	
<b>If it is listed, indicate the name of the stock exchange and the quotation board.</b>	
<b>How many direct and indirect subsidiaries does the company have? Provide a group chart.</b>	

## 2. BUSINESS ACTIVITY

<b>Type of Business:</b> <ul style="list-style-type: none"> <li>• Large-scale</li> <li>• Medium scale</li> <li>• Small-scale</li> <li>• Others, Specify:</li> </ul>	
<b>Description of the main commercial activity</b>	
<b>In which countries do you currently trade your precious metals?</b>	

## 3. BENEFICIARY OWNERS

<b>Shareholders (more than 25%)</b>				
<b>Percentage (%)</b>	<b>Name</b>	<b>Address</b>	<b>Country of Incorporation/ Nationality</b>	<b>Date of Incorporation/ Date of Birth</b>
<b>Final effective owner (more than 25% - Only individuals)</b>				
<b>Percentage (%)</b>	<b>Name</b>	<b>Address</b>	<b>Nationality</b>	<b>Date of Birth</b>

#### 4. COMPLIANCE OFFICER

<b>Name of Compliance Officer</b>	
<b>Mobile No.</b>	
<b>Email address</b>	
<b>Additional details</b>	

#### 5. ADMINISTRATION STRUCTURE

	<b>Name</b>	<b>Title</b>	<b>Nationality</b>	<b>Date of Birth</b>	<b>Additional Details</b>
<b>Senior Management</b>					
<b>Board of Directors</b>					

#### 6. FINANCIAL INFORMATION

<b>5.1 Financial statements details</b>			
	<b>Currency</b>	<b>Last Report Period</b>	<b>Last year</b>
<b>Paid up capital</b>			
<b>Purchases</b>			
<b>Sales</b>			
<b>Net Income</b>			
<i>Provide a copy of the latest annual report</i>			
<b>5.2 Other Financial Information</b>			
<b>Financing source of operation</b>	<ul style="list-style-type: none"> <li>• Own Capital</li> <li>• Government Entity Name :</li> <li>• Bank Loan :</li> <li>• Third Party Loan :</li> </ul>		
<b>What usual payment method does the Company use to pay its suppliers?</b>	<b>Payment Type</b>	<b>Percentage(%)</b>	
	<b>Bank Transfers</b>		
	<b>Cheques</b>		
	<b>Cash</b>		

## **7. HUMAN RESOURCES**

<b>No. of Employees in the Company</b>	
<b>No. of Employees in the Group</b>	

## **8. PRECIOUS RESPONSIBLE METAL SUPPLY CHAIN POLICY**

<b>Has your company established a responsible gold supply chain for conflict-affected and high-risk areas policy that is consistent with the standards set out in the model supply chain policy in Annex II of the OECD for Responsible Supply Chains of Conflicting Minerals - Affected and High Risk Areas?</b>	<b>Yes - Provide a copy</b>  <b>No</b>
<b>Does your company comply with or plan to comply with the OECD Due Diligence Guide for Responsible Mineral Supply Chains in Conflict-Affected and High-Risk Areas?</b>	<b>Yes</b>  <b>No</b>
<b>Does your company comply with any of the following industry initiatives: RJC Chain of Custody Standard RJC Code of Practice WGC Free Gold Conflict Standard Fair Trade Standard Fair Mining Standard Others, specify: _____ Provide a copy of certification</b>	<b>Additional Comments</b>
<b>What are the established procedures to guarantee that the precious metals purchased have not financed conflicts?</b>	

## **9. POLITICALLY EXPOSED PERSON (“PEP” STATUS)**

**Do any of your directors, shareholders or authorized personnel hold, have previously held or actively seeking a position or being considered for a prominent public position?**

- YES
- NO

**If yes, Please provide details of the position below (title, department, country, etc)**

**Do any family member/close associate of your directors, shareholders or authorized personnel hold, have previously held or actively seeking a position or being considered for a prominent public position?**

- YES
- NO

**if yes, Please provide details of the position below (title, department, country, etc)**

### **Definition of “PEP”**

Entrusted with prominent public functions, for example Heads of State or of government, a government minister, a senior public servant, a senior judicial or military official, a senior executive of a state-owned corporation, a member of the legislature, a senior official of a political party, or a member of the senior management of an international organization.

## **10. ADDITIONAL DISCLOSURE**

**Have any of the directors, shareholders, or authorized personal been the subject of any proceedings of a disciplinary or criminal nature or have been notified of any potential proceedings or investigation, under any law in any jurisdiction?**

- YES
- NO

**If yes, Please describe below :**

**Have any directors, shareholders or authorized personal been convicted for any offence or is being subject to any pending proceedings relating to money laundering or terrorist financing?**

- YES
- NO

**If yes, Please describe below :**

**\* If the answer to the above is “Yes”, please provide supporting documents. Where appropriate, to provide all relevant particulars.**

## 11. AML/CFT

Is your company subject to the Money Laundering / Anti-Financial Terrorism Law / Regulation?	Yes - Provide a copy No
Name of the AML-CTF Law / Regulation	
Regulator's Name	
Has your company established a compliance program that contains AML/CFT policies and procedures, in accordance with internal and international laws, regulations and standards?	Yes - Provide a copy No

## 12. BRIBERY POLICY

Does your company have a bribery policy?	Yes - Provide a copy No
Has the company or Senior Management anywhere in the world ever been charged with violating applicable anti-bribery laws or regulations?	Yes - Provide a copy No

## 13. DECLARATION

I/We hereby declare that the information provided above is true, correct and complete as on date of writing to best of my knowledge and that all documents submitted along with this application are genuine.

Further, I/We hereby undertake to automatically and immediately inform **AUSTRAL INTERNATIONAL DMCC** of any material changes in the information provided herein and agree that **AUSTRAL INTERNATIONAL DMCC** is neither responsible nor liable for any losses or activity performed on the basis of the information provided.

I/We also agree to provide any additional information or documentation that may be required from time to time by **AUSTRAL INTERNATIONAL DMCC** or its authorized agents or representatives.



	Authorized Signatory
Signature	
Print Name	
Title	
Company's Stamp	
Date and Location	

## DUE DILIGENCE REQUIREMENTS

- Certificate of Incorporation
- Memorandum and Articles of Association
- Trade License
- Full details of Beneficial Owners (BO) if not mentioned in MOA & AOA.
- ID and Proof of Address of any Beneficial Owners - own 25% or more of the Company and not a Director (see below).
- List of directors if not mentioned in MOA & AOA.
- List of Authorized Signatures (on letterhead and signed by your authorized signatories)
- List of Authorized Traders
- Registered Address of the Company
- Anti-Money Laundering Policy/ Anti Bribery and Corruption policy.
- Company's Supply Chain Policy.
- Standing Settlement Instruction (SSI)/ Bank account details on your letterhead.
- Latest Audited Financials – If the Company is newly established and no Audited Financials are available then a copy of a recent Bank account statement will be required.
- VAT Certificate.

### Additional requirements for Mines and Processing Plants

- Mining Right Book
- Mining Exploitation Contract
- Operating License
- Environmental Policy

Documents do not need to be certified; however, wherever possible, an employee or representative of **AUSTRAL INTERNATIONAL DMCC** should verify the IDs of the directors. The list is not exhaustive, and the Compliance Team of **AUSTRAL INTERNATIONAL DMCC** will notify if other due diligence requirements are needed for the account opening.