



# **CORPORATE KYC FORM**

Dear Valued Customer,

It was a pleasure doing business with you.

**AL NASER INTERNATIONAL** 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.

## 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>	

## **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>Mention all Countries of origin of your precious metals</b>	
<b>In which countries do you currently trade your precious metals?</b>	
<b>Does any shareholder / Beneficial owner / Key managerial person has any other business? If yes, please mention</b>	
<b>Mention the metals that you work with</b>	
<b>Mention the form of gold that you work with</b>	
<b>From whom do you purchase the precious metals? (Mine / Bank / Individual / others)</b>	
<b>Who are your counterparties and suppliers?</b>	
<b>Mode / Transportation of metal from Country of Origin to Dubai? (Hand carry / Third party logistics / others)</b>	
<b>Do you have the license / authorization to import / export precious metals?</b>	
<b>Source of Operating Funds</b>	

## **BENEFICIARY OWNERS**

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

## **COMPLIANCE OFFICER**

Name of Compliance Officer	
Mobile No.	
Email address	
Additional details	

## ADMINISTRATION STRUCTURE

	Name	Title	Nationality	Date of Birth	Additional Details
Senior Management					
Board of Directors					

## 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>		

## **HUMAN RESOURCES**

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

## **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:</b> 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>Additional Comments</b>
<b>What are the established procedures to guarantee that the precious metals purchased have not financed conflicts?</b>	

## **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.

## **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.**



## 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

## 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

## 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 **AL NASER INTERNATIONAL** of any material changes in the information provided herein and agree that **AL NASER INTERNATIONAL** 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 **AL NASER INTERNATIONAL** or its authorized agents or representatives.

	<b>Authorized Signatory</b>
<b>Signature</b>	
<b>Print Name</b>	
<b>Title</b>	
<b>Company's Stamp</b>	
<b>Date and Location</b>	

## **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 **AL NASER INTERNATIONAL** should verify the IDs of the directors. The list is not exhaustive, and the Compliance Team of **AL NASER INTERNATIONAL** will notify if other due diligence requirements are needed for the account opening.

**COMPANY AUTHORIZATION LETTER**

**Validity: January 22 – December 31, 2024**

Date : DD/MM/YYYY

Company Name \_\_\_\_\_

Official Address \_\_\_\_\_

The individuals mentioned below are authorized to sign for all matters on behalf of **“INSERT COMPANY NAME ”** as deemed necessary for compliance with Federal, State or Local Regulations, applicable to our company.

Name	Title/Designation	Signature	Location

**Authorizing Person**

**Name :** \_\_\_\_\_

**Designation :** \_\_\_\_\_

**Signature :** \_\_\_\_\_

**Date & Location :** \_\_\_\_\_

Note : The letter must be submitted on the company's letterhead.

## **Declaration of Authorized Traders**

Date : DD/MM/YYYY

Company Name \_\_\_\_\_

Official Address \_\_\_\_\_

Phone no. :

Email/website :

To whomsoever it may concern,

This is to certify that following is the list of authorized traders dealing with our company :

<b>Name</b>	
<b>Address</b>	
<b>Phone no.</b>	
<b>Email address</b>	

<b>Name</b>	
<b>Address</b>	
<b>Phone no.</b>	
<b>Email address</b>	

This authorization is valid for a period effective from \_\_\_\_\_ to \_\_\_\_\_

Best Regards!

Name : \_\_\_\_\_

Manager/Director

Signature

Note : The letter must be submitted on the company's letterhead.

# POLITICALLY EXPOSED PERSON (PEP)

## DECLARATION FORM

The information in this form is collected in order to comply with the Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities requirement.

### Definition of "PEP"

A politically exposed person (PEP) is an individual who is or who has been entrusted with prominent public functions domestically' or by a foreign country.

Prominent public functions include the following profiles:

- Head of State or of Government
- Senior Politician
- Senior Government, Judicial or Military Official
- Member of Ruling Royal Family
- Senior Executive of State-owned Corporation / Government Linked Company
- Important Political Party Official

The definition of PEP also includes immediate family members, relatives, adviser, personal adviser or business associate of an individual stated above.

<b>Company Name:</b>				
<b>Details of Ultimate Beneficial Owners (at least 25% shares and voting rights of a company)</b>				
<b>Name</b>	<b>Nationality</b>	<b>Passport / ID No.</b>	<b>Address</b>	<b>Ownership %</b>
<b>Politically Exposed Person (PEP) Declaration</b>				
<b>Are you a Politically Exposed Person (PEP)?</b>			Yes <input type="checkbox"/> No <input type="checkbox"/>	
<b>Are you related to a Politically Exposed Person (PEP)?</b>			Yes <input type="checkbox"/> No <input type="checkbox"/>	
<b>If you answered "yes" to the first two questions, kindly complete the following:</b>				
<b>Are you related to a Political Exposed Person, please indicate the profile and relationship to you:</b>			<b>A. Head of State or Government</b> <input type="checkbox"/> <b>B. Senior Politician</b> <input type="checkbox"/> <b>C. Senior Government, Judicial or Military Official</b> <input type="checkbox"/> <b>D. Member of Ruling Royal Family</b> <input type="checkbox"/> <b>E. Senior Executive of State-owned Corporation / Government Linked Company</b> <input type="checkbox"/> <b>F. Important Political Party Official</b> <input type="checkbox"/> <b>G. Others</b> <input type="checkbox"/> _____	

- I hereby declare that the details and information given above are complete and true to the best of my knowledge.
- In compliance with UAE anti-money laundering and counterterrorism laws, I hereby grant **AL NASER INTERNATIONAL**, its subsidiaries, and any third-party service or providers my unconditional and irrevocable written consent for the disclosure, sharing, usage, processing, and searching of our information and records.
- I fully indemnify **AL NASER INTERNATIONAL** of all losses and damages it may incur in case of any legal consequences arising out of any inaccurate or misleading information pertaining to the above information provided by us.



## SANCTION COUNTRIES DECLARATION FORM

I, [Name of Authorized Representative], on behalf of [Customer/Supplier Company Name], hereby declare that we are engaged in a business relationship with **AL NASER INTERNATIONAL**, which is based in the United Arab Emirates (UAE), for the purpose of buying and selling precious metals, including but not limited to gold and silver.

As part of our commitment to compliance with international regulations and the laws of our respective countries, we hereby confirm that:

1. We are aware of and fully comply with all applicable international sanctions imposed by the United Nations Security Council, the United States Department of the Treasury's Office of Foreign Assets Control (OFAC), the European Union, and any other relevant regulatory bodies, as well as the regulations set forth by our respective countries.
2. We do not engage in any transactions involving precious metals with individuals, entities, or countries subject to international sanctions, including but not limited to those related to terrorism, nuclear proliferation, or human rights abuses, as well as those prohibited by our respective countries' laws and regulations.
3. We maintain robust due diligence procedures to verify the identity of our counterparties and the source of the precious metals being bought or sold, including conducting enhanced due diligence where necessary in accordance with the regulations of our respective countries.
4. We understand that failure to comply with international sanctions regulations and our countries' laws may result in severe penalties, including fines, loss of licenses, and reputational damage, and we are committed to preventing any such violations.
5. We will promptly report any suspicious transactions or activities that may violate international sanctions, our countries' laws, or raise concerns about money laundering or terrorist financing to the appropriate authorities in our respective countries.

By signing below, I certify that the information provided in this declaration is accurate and complete to the best of my knowledge.

<b>Signature and Company Stamp</b>	
<b>Name of Authorized Person</b>	
<b>Date</b>	
<b>Place</b>	

## SOURCE OF FUNDS / WEALTH DECLARATION FORM

The information in this form is collected to comply with the Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities requirement.

### Source of Funds / Wealth Declaration:

I declare that my accumulated wealth is derived from lawful and legitimate means, which are not associated with, nor derived from, any form of criminal activity or origin, do not originate from any country or entity or person/s listed in EU, UN, OFAC, or other relevant sanction programs, and do not constitute the proceeds of money laundering or terrorist financing.

I'm fully aware of the implications and possible legal consequences of misrepresenting the source of my wealth. I fully understand the significance of this declaration that I make.

<b>Company Name:</b>	
<b>Source of Funds / Wealth</b>	<b>A. Company Ownership / Equity</b> <input type="checkbox"/> Annual Turnover: _____ <b>B. Bank Loan</b> <input type="checkbox"/> Loan Amount: _____ <b>C. Third Party Loan</b> <input type="checkbox"/> Loan Amount: _____ <b>D. Gift / Inheritance</b> <input type="checkbox"/> Details / Amount: _____ <b>E. Others</b> <input type="checkbox"/> Details / Amount: _____

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- I fully indemnify **AL NASER INTERNATIONAL** of all losses and damages it may incur in case of any legal consequences arising out of any inaccurate or misleading information pertaining to the above information provided by us.

<b>Signature and Company Stamp</b>	
<b>Name of Authorized Person</b>	
<b>Date</b>	
<b>Place</b>	